

AN ANALYSIS OF SELECTED 1994-95 PHASE III PLANS SUBMITTED
UNDER THE IOWA EDUCATIONAL EXCELLENCE ACT (CHAPTER 294A)

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In Partial Fulfillment
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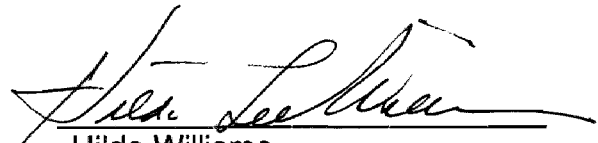
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October 1995

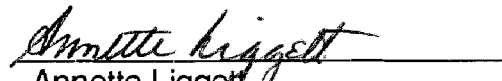
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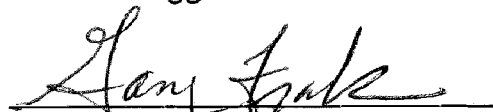
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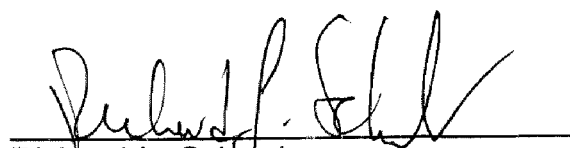
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AN ANALYSIS OF SELECTED 1994-95 PHASE III PLANS SUBMITTED UNDER THE IOWA EDUCATIONAL EXCELLENCE ACT [CHAPTER 294 A]

An abstract of a Dissertation by
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The problem: In 1987, the Iowa Legislature enacted the Iowa Educational Excellence Act to provide financial incentives to raise teacher salaries through locally developed plans. Phase III of the act promoted the development of performance based and supplemental pay plans. In 1993, the legislative focus was changed to comprehensive school transformation. The study was guided by four questions; 1) What sources of school improvement literature and recommendations are cited in Phase III rationales? 2) What rationales are developed for Phase III plans? 3) What activities are developed for Phase III plans? and 4) What is the congruence or agreement between plan rationales and plan activities?

Procedures Content Analysis methodology was used to analyze a sample of 23 Phase III plans submitted for the 1994-95 school year. The findings include an analysis of the proposed plan rationales and activities by comparing the Phase III plans to the three most recent educational reform movements; the excellence movement, the professionalization movement and the school restructuring or transformation movement.

Findings and conclusions: 1) The Phase III citations used inconsistent formats. The data from the study proved inadequate for any findings. 2) Phase III rationales are not consistently transformational. Only 4 of 23 Phase III rationales were consistently linked to school transformation. 3) Although many of the activities in Phase III plans were transformational, student centered and performance based activities found in Phase III activities were inconsistent with the school transformation literature. 4) The agreement (congruence) between plan rationales and plan activities was 71%.

Recommendations: 1) Improve the focus of the Phase III program by eliminating performance based pay and supplemental pay 2) The Iowa Department of Education should take a stronger role in influencing school transformation 3) Include administrators in Phase III 4) Strengthen the transformational leadership role of Area Education Associations.

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Chapter 1

INTRODUCTION

In response to calls for reform (Carnegie Forum on Education and Economy, 1986; Nathan, 1986), America began a quest to improve the quality of education in the nation's schools. The 1980's seminal call for reform was issued by the National Commission on Excellence in Education with the publishing of a report called A Nation at Risk (1983). The report states that America is in a trap of its own making. A serious functional literacy problem exists and not all children master basic skills. Too many children are deficient in the ability to reason and perform complex tasks. In a second report, the same national commission warns that "Each generation of Americans has outstripped its parents in education, in literacy, and in economic attainment. For the first time in the history of our country, the educational skills of one generation will not surpass, will not equal, will not even approach, those of their parents" (National Commission on Excellence in Education, 1984). In response to these reports, 41 states legislated mandates calling for increased educational standards (Wirt & Dirst, 1989). Thus began the first of three post 1983 educational reform movements (DuFour & Eaker, 1992).

History Current of Educational Reform

The history of education in the United States is a history of educational reform. Since the early 1980's, three new waves of school reform have swept through America's school systems (NCREL, 1992a). Each of the waves was

initiated by shifts in thinking concerning how to improve schools. The first wave was propelled by political initiatives focused on mandated standardization. The second wave was characterized by teacher empowerment and professionalizing teaching. The third wave is characterized by re-configuring the basic functions, operations, and organization of schools.

The first reform wave, roughly from the early 1980s to 1986, focused on "more," more standards and more requirements. Most of the reform initiatives started at the state level through the mandating of tightly aligned curriculum, specification of teaching and administrative methods and general standardization of the educational process (Wise, 1988). The purpose of the reform was to improve the watered-down curriculum and low levels of expectations developed during the educationally permissive era of the 70s (Powell, Farrar & Cohen, 1985). States mandated tougher graduation requirements, developed state-wide curriculum, adopted merit pay plans for teachers and demanded local accountability through state sponsored testing programs, both for students and teachers. This reform, typically called the excellence movement, lost momentum when the most obvious result was the widening of the gap between students who previously achieved and students who previously failed. The first wave failed to consider that although policy and practice could be standardized, student needs varied from location to location. The further this model was pushed the less responsive it became to local needs (Berliner, 1992). The entire mandating process eventually failed largely due to the massive implementation problems presented by such wide spread, centralized reforms (Ordovensky, 1989). The failure of this mandated approach was consistent with earlier research that indicated that mandated change has limited influence in changing practice (Peters & Waterman, 1982).

A second reform wave began to take shape sometime in the mid 1980's. This reform was initiated by those closer to the teaching profession and was in

direct contrast to the first wave of reform. In the second wave, a variety of reforms were advocated but generally the suggested reforms focused on professionalizing teaching and empowering teachers. Professionalizing teaching included returning organizational and curricular control to local schools and communities. The new reform maintained an emphasis on mandated improvement but moved from mandates related to student achievement to mandates related to the professional preparation of teachers. The concept behind this new approach was that well prepared teachers would be capable of making educational decisions based on the needs of local student populations (Houston, 1988). The empowerment wave was supported by reports by the National Governors' Association (1989) and the Education Commission of the States (1983) which included recommendations for paying the best teachers for excellence. The concept of merit pay continued to receive support as a component of a new emphasis on accountability (Carnegie Forum on Education and Economy, 1986).

This second wave of reform was generally better received than the first wave because it empowered local schools with decision making power and modeled democratic principles. The reform was endorsed by those concerned with at-risk and special education populations because it was based on the local needs of students. This reform movement also called on teachers to become knowledgeable concerning educational practices and to work collaboratively with parents, administrators, and peers. The emphasis was on improving individual districts through the development of organizational frameworks that promoted local solutions to local problems.

In the midst of all these reform efforts, schools remained relatively unchanged. School reformers began to suspect that the typical school organization was better designed to maintain the status quo than to promote

change. This organizational protection of the status quo was not limited to educational organizations (Deal, 1982; Peters & Waterman, 1982).

The exact beginning of the third wave is so closely connected to the second wave that the reform literature disagrees on whether there is actually a third reform wave or a ripple from the second (Fullan, 1991; Newmann, 1991). The third wave reform is often referred to as school transformation or school restructuring. School transformation and school restructuring began to emerge from the school improvement literature in 1987 and 1988 as a growing awareness of the complexity of school reform became evident.

School restructuring and school transformation are loosely defined but broadly conceived as reorganizing schools to promote greater teacher autonomy and new forms of accountability. The end result of restructuring or transformation is the development of schools that are more adept at meeting student needs in a rapidly changing environment. The key feature that distinguishes restructuring and transformation from previous reform efforts is a focus on dramatic and continuous system wide change. Restructuring and transformation focus on whole-school change, insisting on the coordination of many facets of educational reform simultaneously. This holistic view has become the dominate philosophy of the early 1990's. Third wave innovations included changes in accountability, reduced centralized regulation, site-based decision making, greater school-community coordination and the local development of learning outcomes (DuFour & Eaker, 1992). Although current educational literature is in agreement on a need to restructure or transform education, the concept is so vaguely defined that it may lack the specificity to be useful. States have responded in various way to this reform movement, of particular interest to this investigation is the state of Iowa's response to the transformation reform movement.

Iowa Educational Reform

Iowa's Educational Excellence Act of 1987 was formulated during the waning years of the first reform wave and the initial growth of the second wave. The second wave was more aligned with the political culture of Iowa than the first wave, to which Iowa responded with more rigid school accreditation standards. Iowa's history of active populism and fondness for local control is evident in its' long empowerment of local school boards. This state/local relationship may appear somewhat laissez-faire to outsiders but has served Iowa's needs since the inception of Iowa public schools (NCREL, 1992a).

Unlike educational reform in other states, reform in Iowa was not motivated by a sense that there was a decline in student achievement (NCREL, 1992a). Standardized test results and general student academic success did not support such assumptions. Iowa's entry into school reform was driven by a perception that Iowa's teachers were underpaid compared to other states, that the current pay scale was too flat to retain quality teachers, and a general desire to enhance the teaching profession. This perceived inability to recruit and retain quality teachers and the presence of national education reform movements prompted Iowa to develop a financial incentive system to reward quality teachers while improving the general quality of education in the state (Iowa Association of School Boards, 1987; NCREL, 1992a).

As a result of the desire to support educational excellence, Iowa's 72nd General Assembly passed House File (H.F.) 499 (1987), officially called the Iowa Educational Excellence Act but commonly called the "Teacher Salary Bill." The legislature divided the act into three sections that were described as Phases. The act called for the three phases to be initiated concurrently. Phase I addressed teacher recruitment by raising beginning teacher salaries. Phase II provided

across the board raises to experienced teachers in an attempt to retain teachers. Phase III was designed to improve the quality of instruction.

The Iowa Educational Excellence Act stated that the goal of the act is to "...enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence." Phase III of the act was to enhance teacher effectiveness and performance " . through the development of performance-based pay plans and supplemental pay plans requiring additional instructional work assignments, which may include specialized or differential training, or both" (Iowa 72nd General Assembly, 1987).

The Iowa Educational Excellence Act continued the state's commitment to local autonomy by making participation in Phase III voluntary for the district and voluntary for teachers in districts choosing to participate. This extreme decentralization of educational reform is so rare that it is found in no other midwest state (NCREL, 1992a; New Iowa Schools Corporation, 1991). Local school boards interested in Phase III funds are required to annually submit a plan developed by a planning committee composed of administrators, teachers, parents and community members. Since the Phase III plan is not highly prescriptive, each committee has the latitude to develop plans tailored to the needs of the local school. The Phase III program includes provisions for districts to amend local plans at anytime.

Phase III planning committees were charged with developing a plan rationale by integrating recommendations from school improvement literature with local educational goals developed under Iowa Codes 280.12 and 280.18. These two Iowa Code sections require districts to establish goals through a committee process that involves parents, teachers, administrators, board members and other interested patrons. In order to assist the plan development, Phase III guidelines were developed by the Department of Education and disseminated in the form of a Phase III Evaluation Resource Book and application packets distributed annually to

Iowa schools. A copy of the 1994-95 Phase III application packet can be found in Appendix A.

The district phase III plan could include the implementation or study of performance-based-pay, supplemental pay or combination of the two types of plans. A plan rationale and activities that support the rationale is to be identified along with provisions for evaluating the plan. Phase III plans include a requirement that mandatory bargaining subjects continue to meet the requirement of existing agreements between local teacher' associations and boards of education. The legislature charged the Department of Education with final approval of plans and the administration of the act under the name of the Iowa Educational Excellence Program.

Phase III legislation underwent significant changes during the years following the legislation, at the urging of the Iowa Department of Education and other educational organizations, worked to clarify the intent of the legislation. In 1990, the Iowa legislature passed House File 2271. The amendment added comprehensive school transformation as a third Phase III plan option and has come to be know as the transformation amendment. The legislature defined comprehensive school transformation as including site-based decision making, building-based goal-oriented, innovative educational programs, student outcomes, direct accountability for student achievement, accountability for organizational success, and expanded community or business relationships.

In 1993, the administrative rules developed by the Department of Education were changed to state that "The goal of Phase III is to enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence and comprehensive school transformation." The change of emphasis was prompted when the Department of Education was directed by the Iowa Senate File 2351 ".. to give emphasis to plans which include comprehensive school

transformation or which include a component which is part of a statewide systemic school transformation initiative."

Iowa has taken the unique approach of challenging Iowa schools to support school transformation through the alignment of state and national reform literature with local needs. The Iowa Phase III program provides the state's only funds exclusively designated to support school reform and comes with fewer mandates frequently associated with state incentive programs.

Statement of the Problem

In 1987, the Iowa Legislature created a school incentive program for the purpose of improving the quality of education in the schools of the state. Since the beginning of this program over two hundred and fifty million dollars has been awarded to Iowa schools to support local school improvement efforts through Phase III. The expenditure by the state of millions of dollars of public funds should be supported by evidence that the funds are being spent in pursuit of excellence as defined by the legislature.

The Phase II: guidelines directs local schools to review state and local recommendations along with related school improvement literature then develop a plan rationale and activities that are consistent with the rationale. There has been research investigating the characteristics of Phase III plans (Clegg, 1989; Dick, 1994; Stalker, 1991; NCREL, 1992a) but only one study has investigated the congruence between the rationales and the proposed Phase III activities (NCREL, 1992a). The NCREL study asked Phase III participants if, in their opinion, local Phase III activities and rationales were congruent, no attempt was made to determine whether the opinions from the respondents had a basis in fact, leaving the validity of the results in question.

Significance of the Study

The Iowa Phase III Program is unique in the United States. The Iowa program is the only state funded program in which participation is voluntary for both individual school districts and for individual teachers in participating districts. Although several states have school incentive programs, participation is either limited as in pilot programs or mandated for all schools or teachers statewide. Legislative incentives are typically tied to compliance monitoring conducted at the state level. Iowa is the only state that provides state sponsored incentives for school improvement plans that are developed, monitored and evaluated at the local site (Cornett & Gaines, 1994). Although this approach to reform is highly touted in school transformation literature, there is limited research on what plans are developed through this process.

In 1992, an evaluation of Phase III concluded that the state needed to strengthen the record keeping associated with the Iowa Educational Excellence Program (NCREL, 1992a, 1992b). The evaluation found that although a number of data bases were being kept, they were so improperly designed and maintained that they contained no useful information. The Iowa Department of Education has annually collected data from participating districts, however the record keeping problems cited by NCREL have not been resolved (Eckles, personal communication, 1994). Future ability to establish credible Phase III data is threatened by this lack of record keeping. The data gathered for this study may be useful to future studies for Phase III plans in Iowa.

Research Questions

The study was guided by four primary questions concerning selected 1994-95 Phase III plans.

- a. What are the sources of school improvement literature and recommendations cited in Phase III literature reviews and rationales?
- b. What rationales are given in Phase III plans?
- c. What activities are proposed in Phase III plans?.
- d. What is the agreement or congruence between the plan rationales and the plan actions?

Chapter 2

REVIEW OF THE LITERATURE

Introduction

The purpose of this review is to trace the broad patterns of educational reform that have occurred over the last fifteen years in the United States and the assumptions that were the basis of each reform. The final section is a description of Iowa educational reform, specifically those reforms developed for Phase III of the Iowa Educational Excellence Act.

This review contains an overview of the broad range of school improvement strategies rather than an in-depth analysis of any particular reform or reform strategy. Although dominate strategies and assumptions during different periods of educational reform are described, the reader should be aware that one reform tends to blend into the other with no distinct boundaries. For a more detailed understanding of educational reform, the reader should consult the references cited in this paper.

First wave of educational reform

In 1983, the National Commission on Excellence in Education concluded a study of American education with the publication of A Nation at Risk. The commission argued that the national prosperity and security of the nation were in peril because of sub-standard education in public schools. The report presented a frightening picture of the condition of American education.

Our nation is at risk. Our one unchallenged pre-eminence in commerce, industry, science, and technological innovation is being overtaken by competitors throughout the world.... The educational foundations of our society are presently being eroded by a rising tide of mediocrity that threatens our very future as a nation and a people... If an unfriendly foreign power had attempted to impose on America, the mediocre educational performance that exist today, we might well have viewed it as an act of war... We have, in effect, been committing an act of unthinking, unilateral educational disarmament. (1983, p 5)

A Nation at Risk was an effective catalyst for a flurry of educational evaluations throughout the United States. Within two years of the report, more than 300 national and state task forces investigated the condition of the nations' schools and documented serious flaws in the levels of student achievement. The task forces made recommendations calling for establishing higher standards for high school graduation, improved teacher accountability and teacher compensation. In 41 states, legislatures mandated that students take more demanding courses. Many states raised teacher certification requirements, developed state wide curriculums, created merit pay systems, mandated the use of specific instructional practices and mandated state sponsored testing (DuFour & Eaker, 1992). A Nation at Risk is considered by most reformers as a benchmark in focusing attention on the state of American education. This new benchmark started the first of three post 1983 waves of educational reform.

The first reform wave, typically called the excellence movement, was driven by a political perspective that was heavily top-down and assumed that schools and educators had allowed the quality of education to drop through a progressive degeneration of standards. Although the educational community received the bulk

of the blame for the lowering of standards there was an assumption that society in general had lower standards as a result of the permissive social era of the 1970s (Powell, Farrar & Cohen, 1985). Legislators assumed that correcting the problem simply required refocusing on higher expectations for both students and teachers. A second and complimenting assumption was that by establishing desired ends, schools and teachers had both the will and the capacity to respond according to legislative expectations. Performance based pay, career ladders and a general shift toward rewarding individual performance were promoted as a result of these assumptions.

Change through mandating reflects a rational-scientific response to problem solving. The assumption underlying most mandated change is that those who implement change are capable, but have been either unwilling or unaware of a need for change. Mandated change is coercive and requires close monitoring with sanctions applied to violators. Mandates focus on compliance and do not necessarily address the underlying condition(s) that create the problem being addressed. Although mandating is effective in some situations, it is not effective in all. Between 1983 and 1985, the states collectively passed 295 educational reform acts, the majority of the acts were in the form of mandates. Included in those mandates were regulations for longer school days, longer school years, an emphasis on basic skills, higher program and school standards, mentors for beginning teachers, vouchers, an emphasis on teacher evaluations and higher graduation requirements (Wise, 1988).

The first wave of educational reform was not limited to mandated change. The sense of urgency established by A National at Risk spurred the expansion of existing school improvement models. Started in the 1970s, the Effective Schools Movement(ESM) represented a classic example of a rational-scientific reform philosophy. ESM was based on the assumption that characteristics of effective

schools could be isolated, studied and reproduced in less effective schools. This dissemination strategy identified schools that were judged effective in preparing students for work and post secondary education, conducted a series of studies to determine the common characteristics of the identified schools and published the results. ESM research indicated effective schools required strong administrative instructional leadership, clear school-wide goals, an emphasis on basic skills, high expectations and a safe school environment (Edmonds, 1979). The ESM disseminated the results through a series of information briefs, seminars and workshops.

The ESM was so enthusiastically received that many state departments of education promoted school improvement based on effective schools research. Although the effective schools research contributed to identifying characteristics of effective schools, broad changes could not be attributed to schools who committed time and energy to effective schools training. Evaluation studies failed to find significant changes in either the school processes or levels of student achievement. Bossert (1985) concluded that the effective school literature was interesting but of limited use unless combined with other change strategies. Corcoran (1985), reviewing the research on effective schools movement, concluded that dissemination of effective school characteristics had little effect in improving schools. Corcoran believed that it was not the presence of these characteristics that made the schools effective but rather it was the norms, cultures and climate of the schools that created the characteristics. Corcoran and later Miles (1991) argue that effective schools research is only meaningful after schools adopt a "grounded vision" created through the development of a school culture that is prepared to change and committed to excellence.

In 1984, then Secretary of Education, Terrell Bell (1984), reported with satisfaction that the excellence reform was "already bearing fruit.." This enthusiasm

was suspect since there was almost no evidence of improvement in the factors cited in A Nation at Risk. On the fifth anniversary of A Nation at Risk, the National School Boards Association and the U.S. Department of Education acknowledged that any optimism was premature. Little, if any, improvement was evident in available data on student achievement (Ordovensky, 1989).

The mandating approach taken by states in this first reform movement is an example where mandating failed to achieve desired results. The mandating of higher standards did not improve student achievement for the vast majority of students and increased the level of failure for students who were not able to meet the previous standards. Toward the end of the mandating wave, the Education Commission of the States(1987) review of educational policy and policy implementation in the early and mid 1980s declared that educational reform is too fundamental and complicated to be changed through mandating.

In summary, the first wave reform relied heavily on a rational approach that combined mandated higher expectations and dissemination of new knowledge. The assumption was that schools and teachers had both the will and the capacity to change if pressure was applied; if the capacity was there, then rewards for those who excelled in the form of increased compensation would raise expectations and ultimately student achievement. Although some states had impressive records on paper, the mandating of change produced few examples of improved student achievement.

The primary reason for the failure of first reform wave was the flawed assumption that teachers and education had the capacity to change and that change was simple and required few supporting processes beyond the dissemination of knowledge and creation of higher expectations. When confronted with the social complexity of a school organization, innovations failed to

move from introduction to practice. The lesson of the first wave was that change is a far more complex and costly a process than first imagined.

The initial responses to A Nation at Risk(1983) assumed that school curriculums were appropriate for the needs of society. There was no investigation into redefining what students should know and be able to do. There was no serious investigations into the teaching and learning process. Organizational and teacher expectations had lowered and the solution was to externally reestablished higher standards.

Second wave educational reform

The second wave of educational reform commonly called the professionalization movement, began forming in 1985-86. Dissatisfied with the loss of local autonomy under the first reform strategies, second wave reformers were beginning to understand the complexity of change and wanted to return control to the local communities. Leadership for this reform came largely from governors, state legislators, and state departments of education. Reports issued by The National Governors' Association (1989), the Carnegie Forum on Education and Economy (1986) and the Education Commission of the States (1987) called for improvement in the quality of education through enhancing the training of teachers. This new emphasis on "better" over "more" focused on improving in-service and pre-service education to "professionalize" teaching. The emphasis included increasing teachers' understanding of the cognitive processes of learning. Second wave reformers believed that teachers need opportunities to develop the skills necessary to facilitate learning for all students, including special education and at-risk populations. Promoters of this wave claimed that all students must and can learn in the regular classroom but programs that defined students by various

characteristics (special education and Chapter I) continued to operate by removing some students from the regular classroom environment.

Another common belief of second wave reformers was that learning must be more meaningful to students and teachers (Smith & O'Day, 1990; Mace-Mattluck, 1987). One of the assumptions of this reform was that teachers were capable of change if given access to knowledge and the opportunity to develop new instructional skills. Although the second wave considered teachers as key players in school improvement, most local reforms were administratively driven. Teachers were engaged in various educational processes such as curriculum development with the hope that continued exposure to educational problems would engage them in finding solutions.

This new emphasis on improving the skills of teachers was accompanied by new school improvement models. Second wave improvement models concentrated on improving the knowledge and skills of teachers and administrators. This professional development strategy is similar to first wave improvement models, based on a rational-scientific perspective, but differed because it recognized change as a process and not an event. The new strategy included intensified pre-service and in-service training for teachers and administrators. New staff development models emerged based on research indicating that teacher development was an effective tool in implementing school change (Joyce & Showers, 1988).

In the mid 1980s the ESM responded to the assumption that change was a process by recognizing that dissemination of new knowledge must be combined with sustained learning opportunities for teachers and administrators. ESM emphasized developing building leadership teams that included administrators, teachers and parents and placed an emphasis on preparing for change (Lezotte, 1985). ESM also recognized that reshaping the culture of a school was a critical

component of change (Deal, 1985). ESM began to place an emphasis on quality staff development designed to reculture school staff to become more receptive to change as well as prepared to implement change.

In summary, although second wave reform recognized the complexity of change, many of the first wave assumptions remained. Co-existing with first wave assumptions was the assumption that teachers did not have the knowledge or skills needed to improve student achievement. Staff development in various forms became an innovation in itself. Second wave reform was typically manifested at the local level by the introduction of a series of unrelated innovations.

Third wave educational reform

The third wave of reform, which is still emerging, is typically called restructuring or school transformation. The focus is on whole-school transformation, insisting on the coordination of multiple changes throughout the school organization. Student outcomes, collaboration, curricular alignment of what is taught and assessed, the development of research based instructional strategies, participatory management, partnerships and alternative assessments are all addressed simultaneously under school transformation (Newmann, 1991).

The new reform started when educators and legislatures suspected that the problem of creating quality education was being slowed by a series of "add on" legislative requirements that made the reform process cumbersome and incoherent. The third wave recognized a need to commit to redesigning educational systems. This commitment to redesigning the educational system is a significant departure from previous add on improvement efforts (David, 1991).

Educational restructuring and transformation have different meanings to different people. Although there is no consensus on a definition of restructuring and transformation, Phillip Schlechty (1990) captures the essence when he defines

school restructuring as "...altering systems of rules, roles, and relationships so that schools can serve existing purposes more effectively or serve new purposes altogether" (p. xvi).

School Transformation Questions

School transformation does not rely on a discrete set of rules or changes but rather on a general assumption that schools must change in fundamental ways. Each school must engage in a inquiry of both the current state of the school and the desired state of the school. Within this inquiry there are many possible answers with many possible effects. Joyce (1991) suggest that school transformation is a process of engaging members of the educational community in a discussion of the purpose of schools and what changes will be required for schools to achieve those purposes. Joyce suggest that those desiring to understand school transformation should not look at the innovations themselves but rather look to what questions the innovations are designed to answer.

Taking Joyce's advice, investigating school transformation requires defining the questions that school transformation are designed to address. Approaching school transformation in this context requires considering proposed third wave innovations as potential answers to question. One author (David, 1991) who is a student of school transformation proposes three interconnected questions that need to be answered for school transformation to take place.

- What do we want students to know and be able to do?
- What kinds of learning experiences produce these results?
- What does it take to transform schools into places where this happens?
- Who is accountable for ensuring that these desired effects are achieved?

A review of school transformation innovations supports David's questions and provides a framework for this study. There is a growing consensus in a broad sense concerning the answer to these questions. The consensus is most prominent in the first two questions and still forming on the last two (Brandt, 1991; David, 1991).

Curriculum and Assessment: What do we want students to know and be able to do?

The school reform rhetoric began when national and international educational assessments showed fewer and fewer American students possessed the academic skills required for successful employment. In 1984, the National Assessment of Educational Progress found that only 5 percent of American 17-year-olds had advanced reading skills that enable them to synthesize and restructure ideas presented in reading materials. Only 20 percent could produce a short piece of persuasive writing that reviewers judged adequate or better and that only 24 percent could clearly describe an imaginary situation. The success rate of schools was woefully low with 25 percent of American students not graduating from high school (Nathan, 1986). At the same time as American students were failing to demonstrate traditional academic achievement there was a growing perception by industrial and educational futurist that measures of traditional academic achievement were no longer indicators that students were prepared to meet the challenges of a changing world (Des Moines Public Schools, 1992).

This lack of coherence between the traditional school curriculum and the needs of society and work is well documented (Iowa Department of Education, 1991; Des Moines Public Schools, 1992; Elmore & Fuhrman, 1994; Newmann, 1991). The present educational system was originally designed to meet the needs of an agrarian rural society. The world of work today is information-based with a

priority on what Peter Drucker (1974) calls "knowledge work" (Tucker, 1988). Drucker uses knowledge work to describe work that is based on the interaction of the worker with knowledge to create new learning and solve new problems. This shift from an industrial base society to an information society changes the definition of achievement from production based on physical labor to production based on the interaction between knowledge and the worker. This shift has resulted in a need for students to become life long learners with an emphasis on possessing the ability to learn (Schlechty, 1990, p.35). This change in the needs of society has resulted in a national emphasis on redefining what students should know and be able to do.

The emphasis on defining what students should know and be able to do is not a new idea in education but redefining know and do skills on a large scale with the intent to redefine the educational curriculum of schools is a new reform strategy. The practice of defining what student should know and be able to do is often called Outcomes Based Education (OBE). OBE places emphasis on curriculum reform by insisting that curriculum design clearly define what students should know and be able to do as a result of experiences with the curriculum and instruction.

Spady's (1994) emphasis on higher level thinking skills and what he calls "outcomes of significance" has become a rallying point for curricular reform. Spady believes that students must be implementors and performers who can apply basic and advanced ideas, information, skills, tools and technologies as they carry out responsibility needed for life roles. Spady has been joined in this quest by other reformers who advocate that once these outcomes are established, assessments must be developed that are capable of not only measuring student's progress but becoming a part of the learning process. The new assessments have been termed alternative assessments. The combination of alternative assessments and clearly

defined outcomes means being clear on what teaching should accomplish and adjusting teaching and assessing as necessary to accomplish the desired outcome (O'Neill, 1994; Spady & Marshall, 1991; Wiggins, 1994). The combination of the two, outcomes and alternative assessment, provide the basis for curriculum reform.

The discussion concerning what students should know and do has resulted in national subject area associations working intently to define subject standards. The National Council of Teachers of Math was the first to release subject standards in 1989. Five years later, standards were released in visual art, theater, dance, music, civics and geography. Standards in many other areas are currently circulating in draft form. The standards are intended to serve as guidelines for local standards development (Willis, 1994).

Identifying what students should know and be able to do has reached even greater prominence with the 1994 enactment of two federal acts, Goals 2000: Educating America Act and the Elementary Secondary Education Act (E.S.E.A.). Goals 2000 established eight national education goals and provides school reform grants to states in exchange for establishing local improvement plans and promises to set high academic standards and assessments. The E.S.E.A. includes complementary provisions requiring states to set high content standards in mathematics and language arts as part of Title I programs. Both acts include provisions for states to tailor the federal programs to meet local needs (Johnston, 1994).

This involvement in educational issues by the federal government has received mixed responses. Some believe that federal involvement in educational reform is a return to mandated reforms that failed to improve schools in the 1980s. The establishing of national goals, no matter how broad, may be a warning sign for local control of education. If past federal government ventures are a measure of the future, further intrusion by the federal government can be expected. The

possibility of a de facto national curriculum and de facto national assessments are a realistic possibility (Clinchy, 1995a; Howe, 1995). Another concern is that the federal reform acts are based on a rationale scientific model that attempts to understand, define, and predict human behavior based on cause and effect theory, the same model that consistently fails to produce results in education (Clinchy, 1995b).

Advocates for federal intervention suggest that Goals 2000 and E.S.E.A. give governors and state legislatures the power to intensify state and local efforts toward educational reform. These advocates suggest that much of the educational reform resistance is coming from anti-reform grassroots movements that are preventing educational reform at a local level. This resistance may be because practitioners, teachers, community leaders and even board members feel ignored by school reform movements of the past (Usdan & Schwarz, 1994).

The national standards movement is struggling. The U.S. Department of Education recently stopped funding on a three-year project to draft a national English curriculum, claiming the recommendations were too superficial (Toch, 1994). A recently released U.S. history curriculum was widely criticized for over emphasizing multiculturalism. Critics say that the standards are partisan and politicized to reflect a politically correct and distorted image of America (Diegmuller, 1994). The national standards movement is also threatened by fundamentalist Christian groups that believe that setting national or statewide standards is an intrusion on the rights of families and family values (Hudson, 1994).

Iowa placed a high priority on identification and assessment of what learners should know and be able to do as part of Goal A in the revised Education is Iowa's Future: The State Plan for Educational Excellence in the 21st Century (1994). The Iowa education strategic plan asserts that educators have made curricular assumptions based on static beliefs about the future. If Iowa is to meet the

challenges of a changing environment, new methods of curriculum development must be developed and implemented. The Iowa plan further asserts that "know and do" curriculum issues should be determined at the local level with input from not only educators but also from business and parents. Iowa's emphasis on curriculum development follows 20 other states that have legislated requirements for schools to develop curriculum that focuses on knowledge and skills students are expected to learn (Roos, 1994). The Iowa plan also follows the general alternative assessment tenets that Spady, Wiggins, and others outline by calling for quality assessment practices which are aligned with the locally developed expectations (Houston, 1988; O'Neil, 1994).

Teaching and Learning: What kinds of learning experiences produces these results?

Social and economic changes are challenging the fundamental structure and traditional outcomes of the education. Society has moved from blue collar jobs to white collar jobs to the information age and most recently to an era that many are calling the communication age. The role of the worker in the world economy has shifted. The workers of today must become lifelong learners and develop a broad range of skills and the ability to rapidly acquire new ones. All workers must be able to perform reasonably complex and demanding task, work cooperatively with others and engage in problem solving and critical thinking as a basic condition of employment. The shifting of expectations for employees and recent research on learning has challenged schools to change the basic constructs of education. The entire subject of school transformation is built around developing an educational environment where effective teaching and learning toward new outcomes is a reality (Joyce, 1989).

For years, teaching and learning was thought to be a mystical experience that could not be studied or analyzed. This belief grew out of another belief, teachers are born, not made. Both of these beliefs are currently being challenged. Teaching can be studied both quantitatively and qualitatively, like any other human endeavor; and, through education and training, dramatic changes in teachers' behavior can result. There are hundreds of educational studies that combine to give a picture of best practices in teaching and learning (Berliner & Casanova, 1993).

Howard Gardner has dramatically challenged traditional assumptions concerning learning by adding an "s" to intelligence. Gardner's research indicates that students develop personal curriculums based on their personal style of learning. The multiple intelligence theory is not new but the argument that Gardner presents is well founded in both research and common sense. His findings indicate that teachers can increase student achievement by moving away from lecture and toward activity based learning. Learning must be meaningful and flexible enough that the learner can put new learning in their own context. Gardner believes that developing personal education plans and changing educators' perceptions of what learning look like are basic tenets in the school restructuring puzzle (Gardner, 1991).

Gardner's belief, that students must have the opportunity to construct their own learning, is called constructivism. Constructivism challenges the assumption that the teacher holds the knowledge and that the student is an empty vessel to be filled. Constructivism also challenges the idea that there is one and only one truth. The possibility of multiple right answers is contrary to today's educational approach and traditional assessments (Armstrong, 1994; Brooks & Brooks, 1993; Harmin, 1994).

Another area of potential change in teaching and learning is the emergence of research based instructional strategies. Cooperative learning, project learning, problem based learning and a host of teaching strategies are showing promise for increasing student achievement. Joyce and Weilz (1986) provided the basis for formalized instructional practices with his research reported in their book Models of Teaching. Joyce and Weilz suggest that student achievement can be improved through the improvement of teacher instructional methodology. His research validates that teachers are capable of learning and successfully implementing new instructional methods that result in improved student achievement. This new research and the emerging philosophy that all students can and must learn has resulted in an renewed emphasis on the elimination of pull out programs toward a more inclusive classroom environment.

Although the role of technology in education is still unclear, there is a growing number of people who feel that the growing access to information through the use of technology will have a profound impact on education. The two primary resources in classrooms today are teachers and text. Although media centers, field trips and other miscellaneous resources have a temporary influence on resources, the impact of technology could cause educators to rethink how learning takes place (Fullan, 1991).

Transformation Strategies: What does it take to transform schools
Probably the biggest question facing school restructuring is how to make it happen. The first wave of educational reform attempted state level mandated change and relied primarily on what Fullan (1991) calls intensification strategies. These intensification strategies attempted to standardize curriculum, assessments, teaching, and administrative methods. The second wave promoted individual innovations such as outcomes based education, instructional models, mentoring,

coaching, reorganization of the school day and school year, shared decision making and a dozen other innovative designed to improve education. Although each of the innovations are potentially beneficial, most of them have failed to become widely implemented. The diagnosis for this lack of implementation may be the nature of organizations themselves.

Both the first and the second wave reforms failed to understand that both personal and organizational change are complex and interrelated. Before change can take place, it must make sense to those who will implement the changes. In The New Meaning of Educational Change (1991), Michael Fullan states; "Educational change depends on what teachers do and think - it's as simple and as complex as that." Fullan's research supports that educational change is a highly personal experience for teachers. Teachers must have the opportunity to work through the change in a way that makes sense to them. It is interaction between the teacher and new learning that changes paradigms and results in an increased capacity for changing the status quo of American education. Showers, Joyce & Bennett's (1987) research on staff development linked teacher engagement with new learning as a critical component in their attitudes toward various innovations. Showers found that as teachers developed skills associated with innovations, they became more committed to the innovation. This finding indicates that the content of staff development may have a profound effect on the beliefs and values of teachers. In the case of school transformation, teachers involved in staff development related to transformation are likely to support transformational innovations even if they began the staff development with a negative or neutral concepts toward the innovation.

It is the inquiry into the failure of the first and second wave reforms that have provided the conceptual framework underlying the third wave. The third wave of reform continues to promote the individual innovations of the second wave while

creating the school structures that allow those closest to the innovations, teachers, parents, students and administrators, to interact with the innovations and each other.

Despite the centrality of the teacher's role in determining what happens in schools, most educational reforms have been done to them rather than with them (Fullan, 1991). The teacher is at the bottom of an enormous bureaucratic system. The teacher has little choice in what curriculum is taught, the organization of the school day or year, how students are assigned and how discipline is applied. Teachers spend the majority of their day either teaching or involved in duties related to classroom instruction. Although schools are clearly social organizations designed to meet the needs of society, teachers spend the majority of their day isolated from other teachers. Schools provide little opportunities for adult interaction and even less for intellectual discussions. However, within this absence of power and isolation, a great paradox remains. When the classroom door is closed, teachers determine what happens in schools. Behind these closed doors, teachers decide how to teach and what is taught (Maeroff, 1988). This unique role of teachers that has been ignored in past reform efforts. Fullan suggest that rather than focus on individual innovations schools should concentrate on changing the culture within the schools themselves.

Fullan (1990) believes that culture had four crucial characteristics that played a vital role in change. Collegiality, shared purpose, a belief and commitment to continuous improvement and non-restrictive organizational structures are all critical to both school and classroom improvement. Fullan's theory is that before change could take place, the capacity and the will to change must be developed and cultivated within the school personnel. Engaging teachers in dialogue concerning the purpose of schools, the opportunities to develop shared

beliefs and values and prolonged teacher inquiry into the art of teaching are key change strategies.

The third wave calls for organizational reforms in the roles and responsibilities of teachers. It is through raising teacher morale, deepening their intellectual background, providing them with the opportunity to respond to student needs and giving them access to decision making, that schools transform (Maeroff, 1988, pp.1-8). This enlistment of teachers in the school transformation discussion allows them to confront their beliefs and practices in light of a changing world. This opening of the educational system must be established in an environment of trust and friendship where participants feel free to take risk, confront ideas, discover and explore new ways of seeing and thinking, new ways of working with others and an opportunity to determine what is important (Combs, 1988).

U.S. News, *The Perfect School* (1993), identified teacher empowerment as the number one reform that has the potential to improve America's educational systems. A long tradition of bureaucratic authority has relegated teachers to the role of old-style assembly-line worker with little or no role in decision making. Reformers have become increasingly aware in recent years of the untold consequences of this practice. In some schools, more and more teachers are merely going through the motions in class, if they showed up at all. Local absenteeism rates as high as 20 percent are leaving students in the hands of ill prepared substitutes. By contrast teachers thrive when given a voice in running their schools. The indicators of educational achievement rise and the school becomes a better place for learning.

Shared decision making is not unique to education, however, educational systems, until recently, have not formally implemented school based management or shared decision making. Less common yet is the involvement of business, community members, and parents in a coordinated effort to improve the quality of

local schools. The shift from centralized to shared central and local accountability must include parents. Parents typically attend school social functions, PTA meetings and parent/teacher conferences but seldom are involved in significant school decision making. Parents and community members are technically the owners of the schools but know little about what is going on in schools. School transformation means changing the relationship between schools and the communities that support them (Dolan, 1994a, p. 263).

Shared decision making engages teachers in problem solving and is a prelude to change (Neal, 1991). The recognition of teachers as thinking individuals who are capable of not only working on the assembly line but also solving the problems of the organization is intended to enhance the self-esteem of teachers (Maeroff, 1988). This strategy has worked successfully in business settings and has become the predominate business innovation of the 1980's and 1990's. Empowering those closest to the work results in increased productivity and a more satisfied work force (Dolan, 1994b, Peters & Waterman, 1982).

The literature on school restructuring is consistently linked to shared decision making and represents a shift in the underlying assumptions of school organizations. Traditional organizational structures that are consistent with the principles of bureaucracy do not consider the workers as the thinkers. Instead of dealing with the dilemmas and troubles natural to collective work, traditional structures solve the problem by taking the complexity out of the solution. This hierarchy of authority reflects the belief that people lack ability and initiative, consequently they are unable to solve problems which has been primary responsibility of management. This depersonalization results in treating people as cogs in an organizational machine and the disengagement of people from the organization. When personal and professional interactions occur within power relationships, distrust is not an unreasonable reaction. When problems arise,

workers have little motivation to run to the aid of the organization (Deal, 1982; Elmore & Fuhrman, 1994; Glatthorn, 1993).

Shared decision making means viewing the contributions of all individuals as critical to the success of the organization. This respect for the individual includes viewing people as critical contributors to the success of the organization. The assumption is that organizations, made up of people who have the opportunity to construct meaning from their work, not only solve organizational problems but also create better work environments (Clark & Astuto, 1994). The empowerment of teachers and communities is both a strategy to develop local support for reform but also a strategy to create a sense of responsibility for the result (NCREL 1992b; Steinberger, 1993).

This shift in thinking about workers in a system parallels the constructivist theory of teaching and learning. People perform best when they are valued and they have the opportunity to contribute to not only how their work is done but also what work should be done. The principle of moving students from receiver of knowledge to learning participants with existing knowledge and the ability to think is the same principle behind the empowerment. Although Gardner's constructivist theory is well supported in research on student achievement, the application of constructivist theory to teacher learning has not resulted in higher levels of student achievement as defined by improvement classroom performance (Neal, 1991).

One of the missing elements of first and second wave reforms was a functional understanding of how organizations operate. Peter Senge (1990) believes that organizations are designed to function within certain paradigms and are better adept at resisting change than embracing it. This resistance to change has resulted in the average life span of organizations being less than 40 years. Evidence of this can be found in the fact that between 1970 and 1983, one third of the firms in the Fortune 500 had ceased to exist. Senge calls this phenomenon an

"organizational learning disability." This learning disability is so strong in most organizations that it continues to flourish despite the best efforts of bright, committed people who try to rally the organization to change. This learning disability is the result of how organizations are designed, managed, how people's jobs are defined and, most importantly, the way we have all been taught to think and interact (p.17).

If Senge is right, focusing on single innovation changes, even if successfully implemented, does nothing to increase the capacity of the system to respond to the continual need for change. Prior educational reforms did not address this apparent organizational tendency to resist change. School transformation is the first reform that puts a priority of developing the capacity for continual change (Michaels, 1988).

The shift toward shared decision making has resulted in rethinking the role of leadership. School transformation is unlikely to happen unless school administrators and school boards initiate the process and confer entitlement to others to participate. Initiating and sustaining school transformation requires new kinds of leadership knowledge, skills and attitudes and the capacity to combine these new skills in meaningful ways (Bamberger, 1991). Local school administrators must create opportunities, focus on the learning and teaching process, assume that there are other realities as valid as their own, encourage risk taking and learn to follow as well as lead if school transformation is to take place (Bolman & Deal, 1991). The requirements of leadership for school transformation will challenge many of today's school administrators. Some potential and practicing administrators are not appropriate for school transformation and no amount of education and training will make them so. The very characteristics that have lead administrators to success in the past may not lead them to success in the future. The frustration with school transformation, an often chaotic process, will

lead many to closely manage schools in a way that stifles transformation and disempowers teachers and parents (English & Hill, 1990; Kallick, 1988).

Accountability: Who is accountable for the success of the educational system?

The question of accountability for the success or failure of the educational system is closely linked to the question of what it takes to transform education. The typical reform strategy has been for decision makers to mandate change. State level departments of education, board members or administrators then monitor school or teacher compliance with specific procedural requirements. Typically under mandated change, teachers and administrators complain about the new mandates then eventually bow to the inevitable enforcement strategies. Although this results in superficial change, teaching and learning remain basically unchanged. Teachers and administrators have little understanding of the need for the new rules and assume the role of passive workers who have no input into the plan and little concern with its success (Glickman, 1990).

Involving parents in school restructuring builds a sense of ownership and empowerment (Fisher, 1994). The more parents are empowered to participate, the greater the potential for change (Dolan, 1994b). The same principles behind teacher empowerment apply to parents and community empowerment. Parents feel accountable when they are empowered to influence the result. Without parental involvement in meaningful ways, school restructuring will always be at the whim of a vocal minority. The kind of support that restructuring will require is not built during a crisis but rather as an ongoing commitment to parent involvement from throughout the discussion and implementation of transformation (Willis, 1992)

Developing school-business partnerships to share resources and expertise is another extension of empowerment that results in shared accountability. The general scope of shared empowerment includes all members of the community,

industry, parents, agencies and organizations. The inclusion of all facets of the community shifts the responsibility for schools and children's education from solely the schools to accountability shared by a local community.

Murphy (1990) refers to these changes as voice and choice. The empowerment of parents and community members expands and unites the school community into a force committed to improving the quality of schools. It gives people at the school site authority that is equal to their responsibility at the same time tempered by accountability for producing results defined in a variety of ways.

This shifting of who is accountable for schools holds the potential for conflicts between federal and state legislatures who have recently been very involved in attempting to influence the quality of schools. Michael Cohen (1988), an educational policy expert with NGA, believes that state policy makers must change their thinking and actions in at least three broad areas, if they are to help schools transform. The first area where policy makers can assist is to hold schools accountable for setting goals that emphasize higher-order skills rather than vague platitudes that have little meaning. The second area is that states can provide the resources needed for local innovations and local learning. Cohen's final recommendation is that states tighten accountability systems around an agreed to set of standards. The end result of these three strategies is to strengthen the local role of schools and communities while maintaining pressure for improvement.

In summary, the third wave emerged out of a growing sense that education and schools needed to change in such fundamental ways that a complete transformation is required. The process of recreating the educational system is typically referred to as school transformation. Transformation from what is to what is desired.

School transformation requires altering roles and responsibilities of in school organizations, the redefining of the purpose of schools and the selection of

kinds of learning strategies that best reach those redefined purposes. The end result of this transformation is a school with both the capacity and the will to continuously improve the quality of education. The comprehensive change advocated under this reform is in direct contrast to the typical add on approach of prior reforms. School transformation literature consistently calls for those closest to school reform, teachers and principals, to be accountable to provide evidence of school improvement. The shift in accountability called for in school transformation can only be effective if those being held accountable have the power to influence the result.

Third wave reforms include many of the innovations advocated in the first two waves but demand that those innovations be selected by local schools to solve local problems. Although shared decision making is a key component, the reform is much more complex than a single innovation. Transformation begins with local stakeholders investigating the needs of future workers and citizens, developing a shared vision of the purpose of education, defining what type of learning experiences are needed to meet those purposes and then being accountable to each other to meet their collective goals. The assumption that those who are involved in decision making will support those decisions and work collaboratively to successfully implement the decisions is a foundation tenet of school transformation.

Iowa Educational Reform

In comparison to other states, Iowa was slow to respond to calls for reform. Iowa schools have typically produced high indicators of success and the state is generally recognized as a leader in academic achievement. Although Iowa maintains standards that local districts must meet, the standards are broad and

easily obtainable with a minimum of state intrusion (Iowa Code). Iowa does not have a state wide standardized curriculum or related assessments.

The Iowa legislature has demonstrated a commitment to local control by empowering teachers, parents and community members to participate in local school decisions. The most notable local empowerment strategy was the enactment in the late 1980s of Iowa Codes 280.12 and 280.18. These two codes required that local goals be developed through the use of a committee of parents, teachers, administrators, board member, community members and other interested parties.

On January 13, 1987, Iowa Governor Terry E. Branstad devoted his entire inaugural address to the need for educational reform. Governor Branstad proposed a State Educational Excellence Program that would raise teachers' salaries and enable Iowa to usher in a new era of educational quality with teachers' payment schedules that emphasized performance. In 1987, through a collaborative effort between the governor's office, the educational community, and the legislature, the Iowa Educational Excellence Act was passed and signed into law by Governor Branstad on June 9, 1987 (Lepley, 1988).

The Iowa Educational Excellence Act, commonly called the "Teacher Salary Bill", was presented in three phases that were initiated and implemented concurrently. Phase I addressed teacher recruitment by raising beginning salaries to \$18,000. Phase II provided funds for across the board pay raises to experienced teacher. Phase III was to improve the quality of instruction by financially rewarding teachers for the demonstration of superior teaching through the establishment of merit pay. A second plan option, supplemental pay, was added to Phase III legislation to make the act more palatable to teacher associations and skeptics of performance based pay (Eckles, personal communication, 1994). Supplemental

plans were described as additional salary for teachers who participate in either additional instructional work assignment or training.

Phase III is unique compared to reforms legislation in other states in several ways. Not only is participation in the program voluntary for districts, it is also voluntary for teachers in districts that choose to participate in Phase III. Each local school district is required to develop a local plan through a committee process whose members consisted of teachers, administrators, board members, parents, others interested community members. The completed plans are submitted to the local school board for local approval.

Phase III committees are charged with giving careful consideration to recommendations by state and national reports as they relate to local needs. Phase III plans must be consistent with district goals developed under Iowa Code 280.12/280.18. The plan must contain citations from reform literature, a plan rationale, a description of activities for implementation and a method for evaluating the plan (Iowa Department of Education: Bureau of Administration and Accreditation, 1987).

In February of 1988, the Iowa Department of Education reported that of 436 eligible districts, 428 submitted Phase III plans. Although 400 of the plans were returned to the districts for revision because of failure to meet application requirements, all were eventually approved. Of the plans approved, 56 proposed implementing some form of Performance Based Pay(PBP) and 304 submitted proposals for the study of PBP. Three plans were for PBP only with all the remaining plans including supplemental pay components. The most commonly cited supplemental pay activity was curriculum development (97% of all plans), study of performance based pay (82%), staff development (66%), and teacher-developed activities based on student needs (52%) (Lepley, 1988).

In 1990, at the urging of the Iowa Department of Education, the Iowa Educational Excellence Act was amended to include comprehensive school transformation as a third plan option for Phase III. School transformation was defined as site-based decision making, goal-oriented compensation mechanisms, approved innovative educational programs, focus on student outcomes, direct accountability for student achievement, accountability for organizational success, and work toward expanding community or business relationships (H.F. 2271, section 3).

The amendment further stated that "...real and fundamental change in the educational system must emerge from the school site if the education system is to remain relevant and that plans funded in this program must demonstrate that they are an integral part of a comprehensive district or area education agency effort ..." (Iowa Code 281-91.2 [294A]).

Phase III program activities came under scrutiny in 1991 when the Office of Auditor of State issued an audit report of Phase III. Richard Johnson, State Auditor, cited a series of local Phase III expenditures that were inconsistent with the intent of the Iowa Educational Excellence Act. The auditor recommended that the Department of Education develop clear guidelines or methods of distinction to qualify activities for Phase III compensation (Johnson, 1991). The Department of Education responded to this recommendation by increased informational memorandum contacts with school representatives and by providing increasingly specific guidelines and models for Phase III plan development.

The 1990 Educational Appropriations Bill authorized the State Department of Education to contract with the North Central Regional Educational Laboratory (NCREL) to assess the degree to which the Phase III program maintains and advances educational excellence in Iowa. NCREL combined both quantitative and qualitative methodologies in conducting an extensive study of Phase III's impact on

the quality of education in the state. The report supported the assumption that teacher excellence was being maintained and advanced through Phase III. The report recommended that supplemental pay plans be eliminated or incorporated in comprehensive school transformation plans, the inclusion of administrators in Phase III compensations, the stabilizing of funding for the program and the strengthening of data collection associated with the program. One of the more significant contributions of the report was the recommendation that the program be refocused on comprehensive school transformation. The report recommended strengthening the role of Area Education Associations in facilitating comprehensive school transformation and changing the emphasis of Phase III to concentrate on comprehensive school transformation (NCREL, 1992a).

The 1991-92 Iowa legislature responded positively to each of the NCREL recommendations with the exception of including administrators under Phase III. Sensing a need for increased leadership in the transformation process, funds from the Phase III program were set aside for a state wide, leadership organization that would develop model school transformation model sites. The New Iowa Schools Development Corporation (NISDC), an alliance of the Iowa State Teachers Association, School Administrators of Iowa, Iowa Parent Teachers Association, Iowa Business, Labor, and Education Roundtable and the Iowa Department of Education, was formed in 1991 (NISDC Annual Report, 1994). The corporation initially received \$250,000 in funding to develop school transformation leadership and transformation models in Iowa's schools. In 1994, NISDC was actively working with 59 school sites and the state funding for NISDC had increased to \$1,000,000.

In 1993, new legislation directed the Department of Education to give emphasis to plans that include comprehensive school transformation or a component that is part of a statewide systemic school transformation initiative (S.F.

2351). The administrative rules of the Department of Education were changed to state that "The goal of Phase III is to enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence and comprehensive school transformation." A copy of the goal change was included with the 1994-95 Phase III application packet. The application packet also included specific examples of appropriate and inappropriate Phase III expenditures and examples of acceptable Phase III plan submitted by Iowa districts.

Through this continuing effort to clarify what constitutes an acceptable Phase III plan, the rate of approval of initial applications has increased significantly. The 1994 return for revision was 52% compared to the 1988 return rate of 92%. Although the percentage of successful initial applications has increased, there remains concerns that many of the Phase III plans have shown little change or improvement from year to year (Eckles, 1994, personal communication).

Although most states have some form of educational improvement incentive programs, Iowa and Florida are the only two states that have school transformation or school restructuring as the programs intent (Cornett & Gaines, 1994, p.10). Washington, Arizona and Oregon are currently financing school transformation or school restructuring pilot programs with the intent of state wide implementation at a later date. A comparison between the Iowa and the Florida programs underscores the uniqueness of Iowa's approach to educational reform.

In 1991, the Florida Legislature passed a bill that required all schools to form School Advisory Councils composed of both school and community members. The councils are charged with developing local school improvement plans that address seven state established outcomes. Schools that are able to demonstrate improvement in the seven outcomes are to receive incentives from the state while those failing to show improvement will receive state interventions and assistance (Hutcheson, 1994). Even though the purpose of the Florida and Iowa programs are

similar the source of accountability is different. While Florida has made the schools accountable to the state, Iowa has made the schools accountable to the local community through 280.12/280.18 legislation.

Phase III legislation places a high emphasis on the plan development process. The development of a community committee, the review of school improvement literature, the development of a plan rationale and supporting activities are monitored by the Iowa State Department of Education. Although plans must define a local evaluation process, the department does not closely monitor the evaluations and funding is not dependent on the successful completion of activities. This emphasis on the plan development process assumes that plans developed under these prescribed procedures will result in a viable plan that will be subject to the local accountability of those who designed it. Funding is awarded on successful completion of the plan and approval from the state. The primary criteria for state approval being the validation that the prescribed plan development content and process criteria has been met.

Summary

Public schools in America have been the target of reform and improvement initiatives; higher standards and empowerment in the 1980s, and school transformation in the 1990s. Theories of how to improve schools have changed and with those changes came new reform themes and strategies. Educational reform is permeated with political agendas, personal agendas, religious agendas and a great deal of ignorance about the change process. Multiple audiences of business, industry, policy makers, clergy, parents, teachers and administrators have each contributed to the discussion of the need, outcome and method of school improvement. Although not in agreement what the improvements should be, almost all the audiences agree that schools must improve. The newest reform

movement comes under the banner of school transformation, generally meaning the transforming of schools from what they are now to what they need to be.

School transformation has become the new reform cliché of the 1990's. School transformation lacks agreed to goals and objectives and even lacks a common definition. Multiple innovations, all professed to result in school transformation, are being promoted as solutions to the educational crisis. Out of this confusion there are common themes that help clarify the meaning of school transformation.

School transformation is a set of tenets rather than a series of changes. The first tenet is that schools are out of step with a changing world. This tenet manifests itself in the inquiry into the purpose of schools, how to best facilitate student learning and the enlistment of those closest involved with education in the answering of these questions. A second tenet is that school transformation is not a model, defined by a set of discrete skills or actions. School transformation means the reorganizing of the basic power and accountability structures of schools from the current reality to systems that are collectively driven by new agreed to purposes and results. School transformation is the process of inquiry into how to make schools relevant and effective through thoughtful dialogue involving all who are concerned. School transformation is not the introduction of specific innovations or philosophies but rather planning, beginning and sustaining of collective actions designed to improve the quality of learning in local schools.

School reform literature is littered with innovations and policies that have produced erratic results. There is no shortage of experts on school reform but there is a shortage of reformed schools. Innovations, logically conceived and clearly designed often fail to produce the desired results because those who would change school often fail to realize the change is technically simple but socially complex.

Iowa's Phase III started as an add on program designed to increase the salaries of Iowa's teachers, especially those teachers who could demonstrate superior teaching performance. Over the years, the program has changed to focus on improving the quality of education at the local level through comprehensive school transformation. The program is prescriptive in the planning process but not in the end results. The state requires the development of a written plan that includes two primary parts, a plan rationale and activities to support the rationale. Although the Iowa legislature has continued to support Phase III, there has been limited evidence that Iowa schools are meeting the intent of the Phase III legislation, the promotion of teacher excellence and comprehensive school transformation.

Chapter 3

METHODOLOGY

The purpose of this study was to describe the rationales and proposed activities developed at the local school district level as reflected in selected Phase III plans submitted under the Iowa Educational Excellence Program. Findings concerning the components of Phase III plans, the literature and recommendations cited in the plans, the plan rationales, and the congruence between the rationales and the plan activities are reported in Chapter 3.

The process for developing Phase III requires that each local school board appoint a committee of teachers, administrators, parents and interested patrons to develop a local plan for improving the quality of local education. Districts applying for Phase III funding must design a plan that meets the state's criteria in at least one of three different categories; Performance-Based Pay Plan, Supplemental Pay Plan, or Comprehensive School Transformation Plan. The state also allows districts to develop plans that combine characteristics of each plan. The Phase III application packet sent to each school by the Iowa Department of Education contains specific directions for the development of a plan and a list of criteria is used to judge the viability of proposals. The Iowa Department of Education also provides periodical Phase III updates in the form of newsletters and workshops. A copy of the 1994-95 Phase III application packet can be found in appendix A.

A Phase III plan must include a plan rationale based on current literature on school improvement. Plans must include a description of actions designed to support the rationale. The planned actions must identify who is to do something, what is to be done, the timeline for completion of the actions and a method for evaluating the plan.

Following committee agreement on the Phase III plan, the plan is submitted to the district school board. Local schools boards may approve, deny or request changes in the plan. Plans approved by the local school boards are sent to the Iowa Department of Education for either approval or return for revision. The Phase III plans analyzed in this study are a sample of plans developed under this process submitted for the 1994-95 school year.

Questions guiding the study

The study was guided by four primary questions concerning selected 1994-95 Phase III plans.

- a. What were the sources of school improvement literature and recommendations cited in Phase III literature reviews and rationales?
- b. What rationales were given in Phase III plans?
- c. What activities were proposed in Phase III plans?
- d. What was the agreement or congruence between the plan rationales and the plan actions?

Sample

The Iowa State School Board of Education placed special emphasis on improving schools with enrollments of 1,000 (Iowa State Board of Education, 1987). In the mid and late 1980s, the Iowa School Board was actively promoting school consolidation to improve local financial conditions and the quality of education. The Iowa School Board considered 1,000 students to be a target size for Iowa schools. Although little progress has been made with school consolidation, the rationale that schools need a minimum of 1,000 enrollment to maintain quality education and financial stability is still a viable consideration. The sample for this

study was selected based on this recommendation. Since the amount of funding is based on student enrollment, all schools in the sample receive approximately the same amount of Phase III money. The specific plans were selected by consulting a 1994-95 Iowa Department of Education listing of all Iowa school districts, rank ordered according to enrollment.

The resulting sample consists of the school district closest to 1,000 in enrollment and the next fifteen schools of higher and lower enrollment for a total of 31 schools. The sample ($n=31$) represents school Phase III plans that were used in coding and analysis refinement procedures and 23 plans analyzed for the study. A list of the districts in the sample was submitted to the Iowa State Department of Education for confirmation that each had an approved Phase III plan for 1994-95. Each district was contacted and copies of Phase III plans requested. Of the 31 plans requested, 15 plans were received. The remaining 16 plans were obtained from the Department of Education. A copy of the letter requesting Phase III plans can be found in Appendix B

The initial study consisted of an analysis of 15 district plans, beginning with the Phase III plan from the school closest to 1,000 and the next 7 higher and lower in enrollment. The study was then extended to include additional plans from the total sample until the data became redundant and there was reason to believe that the analysis of additional plans would not reveal significantly different information. A total of 23 plans were analyzed during this study. Krippendorff (1985) found that information produced under standardized processes tended to reach redundancy when a small percentage of the total population of a sample is analyzed (p. 69).

Methodology

A Content analysis (CA) methodology was used to classify the information from the Phase III plans. CA is a research technique for the objective, systematic

and quantitative description of the manifestation of a variety of communications. The process of CA allows the distilling of large amounts of data into a form that can be summarized and compared. Content analysis transforms the content of information, through objective and systematic application of category rules, into data that can be summarized and compared. The results are reproducible and valid inferences can be made from the analysis results (Krippendorff, 1985).

Content analysis methodology classifies information into categories based on criteria describing the contents of the information. The categories should reflect the investigator's research questions and specify conditions that determine whether a given datum falls within the category. The categories should be a valid representation of the analyst's concepts and sufficiently precise that it guides coders to produce reliable results. The categories must also be exhaustive so that all possible information that might be encountered can be placed in a category.

The need to develop exhaustive categories and category indicators means that the analyst must construct appropriate categories by trial and error. This is accomplished by moving back and forth from theory to data, testing the usefulness of tentative categories, and then modifying them in light of the data (Holsti, 1969). Although CA is generally considered a quantitative methodology, qualitative methodology must be employed in the development of the categories and during the classification of information. The process of category development and coding, based on the interpretation by the coder, is basically a qualitative process. Since information is often communicated in non-numerical forms, the decoding of these forms must be determined through qualitative analysis before applying quantitative measures (Rosenbren, 1981).

The categorization of information using CA requires defining recording units for the purpose of coding. In order for a coder to place information in a category, there must be a definition of what constitutes a beginning and an end to the

information being coded. Recording units must be observable and independent from each other. The recording unit for this study was referential units, any collection of words that describe or refer to a specific purpose or activity. Future references in the individual samples to the same purpose or activity were considered to be extensions of the original reference and were considered part of the original coding.

An initial set of categories (see appendix C) was developed during the review of the literature on school restructuring/transformation to serve as a basis for the CA. To facilitate the coding of the data, a matrix (see appendix D) was developed for categorizing the rationale and activities described in the selected plans.

To test the matrix used in this study and to ensure that the selected categories were context sensitive, exhaustive, and mutually exclusive, two Phase III plans were analyzed. The plans categorized were the largest and smallest districts in the sample.

The researcher read and categorized the two plans to test the accuracy efficiency of the categories. The researcher moved back and forth between the plans and the school transformation literature to refine the categories to accurately represent the concepts in each category. During this process it became evident that although the original categories reflected the literature and activities, the use of the initial categories did not fully reflect plan rationales, activities and the congruence between them. Dissatisfied with the initial categories, the researcher returned to the literature review and began redefining the categories. The researcher redefined the categories using the four questions used for organizing the literature review on school transformation; What do we want students to know and be able to do? What kinds of learning experiences produce these results?

What does it take to transform schools into places where this happens? Who is accountable for ensuring that these desired effects are achieved?

The researcher investigated the first and second waves of educational reform to determine how these reforms answered these same four questions. Through a process of working back and forth between the plans and the literature review, a matrix representing how each wave answered the four questions was developed. The matrix included indicators for each category that represented answers to the four questions.

Testing of the second set of categories was conducted using the same two plans used in the testing of the initial categories and plans from the next smallest and the next largest school, working from the extremes of the sample toward the middle. Throughout the testing, the researcher continued to refine the categories to accurately reflect the literature associated with each reform movement. This redefining process also resulted in refinement of the literature review to reflect the new context for the matrix.

The new categories are represented in a four by four matrix with a total of 16 categories. The 16 categories reflect the answers to the four questions for each of the three reform waves. The coding process involved the reading the plans, identification of referential units and the categorization of the information in the most appropriate category. This was done for both the rationale and the plan activities. This process used a blank matrix to record the results of the categorization process. A copy of the matrix can be found in appendix E.

Reliability

To establish reliability of the matrix to accurately reflect the characteristics of the plans, two additional readers were trained to use the matrix to code plan components. The readers were selected based on their familiarity with educational

reform, through both their experiences and as knowledge of the reform literature, and that the two readers were not involved in the plans being studied. The selection of readers with a high degree of knowledge concerning school transformation and first and second wave reforms was important. The specialized language and subtle differences found in the categorization process required readers to be familiar with a broad range of innovations and school improvement plans and processes found in the three most recent reform movements. These qualifiers created the likelihood that the readers were knowledgeable about educational reform, but not disposed to categorize activities in such a way as to skew the results.

The training process was conducted by having each coder and the researcher read and collaboratively categorized the contents of the third smallest and the third largest school's Phase III plans in the sample. The purpose of this activity was to train the readers in the use of the matrix. Throughout this training process, the researcher and the coders discussed the identification of the referential units and the coding process. Following the training, the researcher and the two additional readers independently read and categorized two randomly selected plans from the sample.

The results of the categorizations were compared and a coefficient of inter-reader reliability computed by a method commonly used in content analysis of similar data (Holsti, 1959, p. 140). This method determines the ratio of coding agreements between readers and the total number of coding decisions made to determine the coefficient of reliability. The formula for determining the coefficient of reliability is represented by the following formula:

$$C.R. = \frac{2M}{N_1 + N_2}$$

In this formula M is the number of coding decisions on which two readers are in agreement, and N_1 and N_2 refers to the number of coding decisions made by each of the readers respectively. The matrix created for the CA required the coder to make sixteen coding decisions for each plan, 8 coding decisions for rationale and 8 coding decisions for activities. The reliability was established by comparing each reader's coding results to the others and to the researcher's results.

Acceptable reliability in CA is difficult to establish because of the relationship between validity and reliability. The more complex the categorization process the higher the validity at the cost of reliability. This trade off between validity and reliability requires reaching an acceptable compromise between coding reliability and relevance of the categories. Krippendorff (1985) suggests that reliability below .7 has little usefulness. Based on Krippendorff's suggestion, the minimal acceptable reliability for this study was set at .7 (p. 147).

With transformation coded as two separate categories, the results of the reliability test resulted in a .875 reliability between the researcher and reader one and a .375 reliability between the researcher and reader two. The reliability between reader one and reader two was .312. The range of reliability testing was from .125 to 1.0 with an average reliability of .52. An analysis of the reliability testing indicated the primary reason for the low agreement levels between reader two and the other two readers was the differences between the coding of rationales and activities to the two transformation categories. When both transformation categories, awareness and implementation, were considered as a single category, the reliability results improved.

When considering transformation as a single category, the reliability between researcher and reader one was 1.0. The reliability between the

researcher and reader two was .812. The reliability between reader one and two was .812. The range of reliability was .625 to 1.0. with an average reliability of .88.

The two transformation categories, awareness and implementation, required the coder pay close attention to the narrative verb tense as well as the contents of the narrative. The differences between the reliability between reader two and the other two readers indicates that determining the subtle differences required for reliable categorization of the plans to discrete transformational categories is questionable. The reliability for the matrix with transformation considered as a single category was acceptable and exceeded the .7 reliability established for this study.

Following the finding of acceptable reliability, the researcher read and coded the plan from the district with an enrollment closest to 1,000 and the next seven plans from schools of higher and lower enrollment. Additional information was recorded in a data base describing specific plans and activities. The researcher took adequate notes and records to establish an audit trail. To test the sample for saturation, the data from the 15 plans were randomly divided into two equal halves and compared to each other for similarity. In order to have the same number of plans in each half, one plan was selected at random and eliminated for the purpose of comparison. The two halves were compared on the basis of the number of placements in each category for both the rationale and the activities. Although there were variations in the content of the data, the two halves were similar in the frequency of category placements. In order to assure that the sample was exhaustive, the researcher analyzed the three largest plans and three smallest plans in the sample (N=31). Although these plans were used in the initial phase of the category refinement and reader training, the data were not corrupted through these processes.

The analysis of the data from the review of the citations used in the Phase III plans is in the form of a narrative description. The results of the CA for rationale, activity and congruence are reported in a series of summative matrixes. Based upon the data, conclusions were made regarding Iowa's Educational Excellence Phase III Program. The conclusions reference the data and the questions serving as a basis for the study as well as the professional literature on school transformation and the Iowa statement of legislative intent for Phase III.

Limitations of Study

1.) The sample of Phase III plans to be analyzed for this study represent only six percent of all Phase III plans submitted for 1994-95. The study is limited to a sample selected on a recommendation by the Iowa State Board of Education (Education, 1987). The ability to generalize the results of this study to Phase III plans of districts of larger with small enrollments than 1,000 may produce different results.

2.) When using content analysis methodology, the level of content validity must be established through the interaction of the researcher with the information being studied. Content validity refers to how well the classification categories match the information being studied. The content validity of CA remains dependent on the researcher's ability to construct categories that accurately reflect the information being studied.

Chapter 4

ANALYSIS OF DATA

The purpose of this study was to describe the rationales and proposed activities developed at the local school district level as reflected in selected Phase III plans submitted under the Iowa Educational Excellence Program. As a result of the analysis, findings concerning the components of Phase III plans, the literature and recommendations cited, the plan rationales, plan activities and the congruence between the rationales and the plan activities are reported in this chapter.

Phase III rationale citations

Phase III plans are required to contain a plan rationale and citations that references national and state reports and publications related to the future of the educational system. The 23 Phase III plan analyzed for this study contained a total of 81 citations for an average of 3.5 citations per rationale. The number of citations varied from a minimum of 1 citation, found in 6 plans to a maximum of 13 citations, found in one plan. The median number of citations was 3.

The rationales used three primary styles of citation reference. One style listed the publication source, author and date of publication, this was the least frequently used style. The second style listed the author and date of publication while a third style listed only the author's last name or referenced a title of a source. The third style of citation referencing was the most commonly used in the 23 plans. Rationales often used more than one style in citation referencing. None of the Phase III plans contained a bibliography or reference list.

The dates of the citations ranged from 1976 to 1994. Forty-three of the citations were from 1990 to 1994, roughly the dates associated with the school transformation movement. Twelve of the citations were from the period of 1985 to 1989, the dates most commonly associated with the professionalization reform movement. Twelve of the citations were from 1984 or earlier, the dates most commonly associated with the excellence reform movement. Thirteen of the citations did not contain dates of publication (see Table 1).

Table 1

Frequency of publication dates cited in Phase III plan rationales

Publication date	1965-1984	1985-1989	1990-1994	no date given
frequency	12	12	43	13

The most common source of information cited was state or federal reports with a total of 11 citations. Publications from the Association of Supervision and Curriculum Development were cited 10 times while Phi Delta Kappan was cited as a reference 5 times. The document most commonly cited was A Nation at Risk, cited in three rationales. The only author cited more than twice was William Spady, who was cited in three rationales.

Eight of the plans referenced local sources of information that included either the district goals, district mission statements or district curriculum development processes. These references were not considered citations because they failed to meet the citation criteria described in the Phase III Application Packets which indicates that citations contain a minimum of the authors name and date of publication.

An analysis of the plans found only one pattern that could associate the number of citations, sources of citation or dates of the citations with the results of the Content Analysis (CA). The pattern that was evident in the citations and the CA was that four plans that included performance based pay, supported performance based pay with citations from 1984 and earlier. A fifth plan that included a performance based pay component in the plan activities did not contain citations in the rationale to support that component.

Of special note in reviewing the citations was the absence of references to any state initiatives or to the Iowa Department of Education. This absence of references to state leadership seems unusual in light of the role the Iowa Department of Education played in initiating the Phase III program.

Data reporting method

The CA categories for this study involved the development of a matrix containing 16 categories. The information identified in the plan rationales and plan activities were coded to categories based on potential answers to four broad questions; What do we want students to know and be able to do? What kinds of learning experiences produce these results? What does it take to transform schools into places where this happens? Who is accountable for ensuring that these desired effects are achieved? The second consideration for coding was the match between the potential answers and the three most recent educational reform movements. For the purpose of referencing specific plans described in the data, each plan was assigned a number that remained constant throughout the reporting of the data.

Categorization of plan rationales

What should student know and be able to do?

This question was addressed in 21 of the 23 plan rationales examined. In 20 of those 21 rationales coded to the question, narrative describing know and do elements was found at the beginning of the rationale and formed the basis of the

Table 2

Content Analysis Category placement of Phase III rationales

question	no response	Excellence	Professionalization	Transformation	
				Awareness	implementation
a	2	1	6	9	5
b	2	0	14	3	4
c	5	2	9	3	4
d	12	6	1	0	4
total	21	9	30	15	17

a= What do we want students to know and be able to do?

b= What kinds of learning experience produce these results?

c= What does it take to transform schools into places where this happens?

d= Who is accountable for ensuring that these desired effects are achieved?

plan rationale. Table 2 indicates the matrix placement of the 23 plans to the question of what should students know and be able to do?

Fourteen of the rationales responses to this question were placed in either the awareness or implementation category associated with school transformation. Rationales placed in these categories included references to new standards, new learner outcomes, new assessments, clarification of beliefs and values, or the need to re-examine the purpose of schools. Rationales placed in the transformation category described connections between the plan components and an emphasis on changing the current paradigm of what students should know and be able to do. All of the plans coded to school transformation included references to changing society and business needs that should be reflected in new learning expectations. All know and do rationales coded to the transformation category included

references to a belief that all students would be expected to reach the new learning outcomes. Categorizing decisions concerning the level of transformation, initiation or implementation, were based primarily on tense usage in the descriptions of activities. Plans that described the defining of know and do outcomes in the past tense were considered for the implementation category.

Plans placed in the professionalization category did not show linkages between the different elements of the plan. The plans in this category included narrative that indicated that although curriculum development was an important component of the plan there was no emphasis on redefining what students should know and do.

Plan 23 was coded to the excellence category of know and do because the rationales indicated satisfaction with current curriculum and a emphasis on only basic skills. This rationale did not indicate an awareness of the changing needs of society or business. Although the rationale emphasized a need to review and update curriculum, the narrative validated the existence of a curriculum viewed locally to meet the needs of students. Another distinguishing characteristic of this plan was the brevity of the rationale.

What kind of learning experiences produce these results?

This question was addressed in 21 of the plan rationales. Table 2 indicates the rationale placement of the 23 plans to the question of what kind of learning experiences produce these results? Seven of the rationales were placed in either the awareness or implementation transformation categories. The most common reason for placement in these categories was the strength of the narrative descriptions of the need for staff development and professional growth that was linked to new learning outcomes or standards. Four of the plans indicated that the district placed a strong ongoing emphasis on professional growth that focused on

local curriculum needs. In all four of these plans, teachers worked collaboratively to make decisions about the exact content of the staff development. These four plans were placed in the implementation category.

Fourteen of the plans were coded to the professionalization category because professional growth was not linked to learning outcomes. Although these schools placed an emphasis on teachers developing professional expertise there was no rationale as to why the expertise was needed. Several schools in this category described well designed staff development programs focused on specific and potentially transformational topics. However, the rationales did not present an argument for how the new teacher expertise would contribute to student learning. Several of the staff development plans described a series of innovations to be introduced over a three year period. In one rationale, plan 12, 14 different innovations were to be introduced during the 1994-95 school year.

All plans included narrative that indicated that teachers were involved in the develop of professional growth experiences for teachers. Based primarily on the strength of teacher involvement and the general strength of the staff development described, none of the rationales were categorized to the excellence category in reference to this question. Plans 1 and 3 did not contain any information in the rationales that could be categorized for this question.

What does it take to transform schools into places where this happens?

Plan rationales that addressed this question varied widely in how to transform schools. See Table 2. Networking, collaboration and shared decision making were placed in one of the transformation categories when these innovations were linked to other parts of the rationale. The most common linkage was to staff development with a goal of improving the capacity of the organization to achieve new learning outcomes and standards. Several of the schools included

examples of shared decision making where teachers were responsible for portions or all of the school improvement plan. Seven of the plans were placed in one of the transformation categories.

Of nine plans placed in the professionalization category, all demonstrated an emphasis on networking in some form but failed to describe any linkages between the networking and other plan components. In these plans, peercoaching and teacher collaboration were described as critical elements in school transformation but the narratives implied that individual teachers were responsible for change with no responsibilities for organizational success.

The two plans placed in the excellence category heavily emphasized the need for students to be offered extended opportunities for growth. These extended opportunities were summer school, after school classes or Saturday classes. The implications of the plan narratives was that additional contact time with students was needed to produce learning. Teachers were paid an hourly wage to design and teach remedial or enrichment classes.

Who is accountable for ensuring that these desired effects are achieved?

The most common answer to this question was described in terms of the role of a Phase III committee. The most common level of authority for Phase III committees was judging Phase III activities according to a predetermined set of criteria. These rationales were placed in the in the excellence category. See Table 2.

Four of the plans addressed the need to reward individual teachers for superior performances. These rationales were placed in the excellence category because of the high emphasis that performance based pay rationales placed on individual achievement as opposed to group achievement. In four of these plans,

there were no additional elements that could be coded to the accountability question.

Four rationales included plans for Phase III committees to be given additional responsibilities in the form of extended decision making powers. These extended decisions included coordinating the Phase III plan components, determining organizational needs on an ongoing basis and allocating Phase III resources according to those decisions. These same four plans suggested extensive involvement by community and teachers in decision making and accountability. Those plans that addressed shared school and community joint responsibility typically included some form of school transformation teams or shared decision making teams with broad authority and responsibilities for organizational success. The emphasis on shared accountability was a central point in these plans with a great deal of the rationale narrative focused on describing the importance of these new roles and relationships.

Activities in Phase III plans

The 154 activities proposed in the 23 plans studied were classified to five broad groups based on broad general characteristics. The five groups were teacher focused activities, student focused activities, curriculum focused development, performance based pay, and organizational improvement.

The tables in this section indicate the frequency of category placement of activities in each group with referenced to the four CA matrix questions. The CA resulted in identical activities being placed in different categories on the matrix depending on the purpose of the activity as expressed in the plan language. For example, assessment development training was found in five plans however three of the plans described purpose as solely developing new assessments. Two of the

plans described the purpose of assessment training as an important part of student learning experiences.

The activities categorized as teacher centered activities were described as enhancing the quality of instruction through some form of teacher in-service or staff development. See Table 3. The three most common topics of staff development in the plans were assessments, technology and cooperative learning.

Table 3

Teacher focused Phase III activities and matrix placement

Teacher focused activities	Know and do	Learning experiences	What does it take to change	Accountable	Total
Study groups-action research		2			2
Assessment development training	3	2			5
Individual outcomes writing	2				2
Staff development-unspecified		6			6
Tuition reimbursement				1	1
Mastery learning		1			1
Cooperative learning		6			6
Questioning techniques		1			1
Personal growth plans		2			2
Visits to other schools		1			1
Peer coaching		3			3
Effective Schools training			1		1
technology training	1	4			5
Elements of effective instruction		1			
Integrated instruction		2			2
Study of middle schools			1		1
Critical thinking		1			1
Math manipulatives		3			3
Lego, LEGO		1			1
Writing across the curriculum		1			1
Learning styles		1			1
Whole language		1			1
Conflict resolution training	1	1			2
The Primary Program		2			2
Project Wild	1				1
Potpourri of poetry	1				1
School social skills	1				1
total	10	42	2	1	55

One characteristic of teacher focused activities is an emphasis on activity based learning. For example, writing across the curriculum, questioning techniques, math manipulative, Lego, LEGO, The Primary Program, Project Wild and Potpourri of Poetry were described as activity based programs or programs that promote a interactive learning environment. All of the activities classified as teacher focused were consistent with school transformation literature.

A second group of activities were primarily focused on meeting the direct needs of students and were grouped together as student focused activities See Table 4. Remediation and enrichment programs were common activities and

Table 4

Student focused Phase III activities and matrix placement.

Student focused activities	Know and do	Learning experiences	What does it take to change	Accountable	Total
Tutorial program		2			2
Summer remedial/enrichment	2	5			7
Remedial/enrichment program		3			3
Portfolio development	1				1
Mock trial		1			1
Future Bowl		1			1
Wellness committee			1		1
Special Olympics		1			1
Math bee		1			1
Student senate		1			1
Building assistance team			1		1
Student assistance team			1		1
Latch-key program			1		1
Summer home visits			1		1
Parenting classes			2		2
Individual teacher projects		1			1
Student mentoring program		1			1
Automotive diagnostic training	1				1
Teacher team projects		1			1
total	2	20	7	0	29

found in ten of the Phase III plans. The rationale supporting these programs

generally described the variety of learning abilities found in the student population and the need to provide extended learning opportunities to meet those needs. Included in this category was a number of activities that were unique to individual plans. Individual teacher projects, student mentoring, teacher team projects, portfolio development, latchkey programs and summer home visits are example of activities unique to individual plans. One school included a series of activities found in no other plan. These activities included Mock Trial, Future Bowl, Wellness Committee, Special Olympics and Math Bee. There was no information in the plan concerning how these particular activities were selected. One Phase III plan included both a Building Assistance and a Student Assistance Team. The descriptions of the two teams were almost identical and no rationale was offered for why the teams were included in the plan.

The activities classified as student focused do not appear to be consistent with the literature on school transformation. With the exception of portfolio development and teacher team projects, all of the activities in this category were classified to the excellence category on the CA matrix.

A third group of activities were focused on curriculum activities. See table 5. The most frequent activity in the category was developing learning outcomes and assessments. The assessment activities in this group differed from the assessment activities in the teacher centered group because the emphasis was on connecting assessments to learning outcomes. Developing learning outcomes and supporting assessments was the most common activity found in the Phase III plans studied.

The continued use of a local curriculum development process was the basis of nine activities. The review process was not described in any of the nine plans.

The combination of outcomes and assessment development and curriculum writing using a local process indicates that 20 of the 23 schools in the study are

using Phase III funds for refining and redefining what students should know and be able to do.

Table 5

Curriculum focused Phase III activities and matrix placement.

Curriculum focused activities	know and do	learning experiences	What does it take to change	accountable	Total
Outcomes & assessment development	11				11
Extended contract-study assessment	1				1
District process	9				9
Innovative pilot program	1				1
Study to reorganize schedule			1		1
individual curriculum writing	2				2
P.E. alternatives curriculum	1				1
Curriculum articulation	2				2
Full inclusion strategy development		1			1
total	27	1	1	0	29

Although PBP are teacher centered activities, plans containing PBP were grouped together because of the uniqueness of this activity. See Table 6. One distinction of this group was the general vagueness of descriptions and rationales accompanying these activities. Only one plan provided enough detailed information to consider classifying the activity outside of the excellence-accountability category. The five plans that contained performance

Table 6

Performance based pay Phase III activities and matrix placements

Performance based pay	Know and do	Learning experiences	What doe it take to change	Accountable	Total
Compensation for superior rating				5	5
total	0	0	0	5	5

based pay used a variety of methods for determining which teachers were superior and should receive merit pay. All of the plans were categorized as answers to the question of accountability.

The final grouping of Phase III activities concerned efforts to improve the effectiveness and quality of the organization. See Table 7. Nine of the Phase III plans included compensation for Phase III Committees. The role and responsibilities of the committees varied greatly with some committees limited to interpreting qualification criteria to committees with various levels of shared decision making on an ongoing basis. Six plans included School Transformation Teams with an apparent broad range of responsibilities that went well beyond the Phase III plan. Although these teams had different names, the purposes of the teams was to provide building or district wide

Table 7

Organizational improvement Phase III activities and matrix placement

Organizational Improvement	Know and do	Learning experiences	What does it take to change	Accountable	Total
Department chairs				1	1
Phase III review committee			3	6	9
Community involvement activities				5	5
Improved external communications				2	2
Staff development facilitators				1	1
New teacher mentors			2		2
Goal assessment (technology)]				2	2
School transformation team/committee			6		6
Parent involvement			2		2
Phase III coordinator				1	1
Fine arts coordinator				1	1
Schoolwide learning coordinator				1	1
Moral education coordinator				1	1
Pilot programs			2		2
Innovative building projects				1	1
Assessment of district goals development			1	1	1
Instructional council				1	1
total	0	0	13	26	36

leadership for the transformation process. The committees and teams were placed on the CA matrix according to the descriptions of responsibilities of the groups. Three of the Phase III Committees were coded as answers to the Transformation question while six were coded to the accountability question. All six of the Transformation Committee were coded to the transformation question.

One school included the creation of four new teacher roles, Schoolwide Learning Coordinator, Fine Arts Coordinator, Phase III Coordinator and Moral Education Coordinator, designed to establish accountability for specific program components.

A total of 154 different activities were identified and coded to the CA matrix. See Table 8. Of the 154 activities, 63 were coded to the learning experiences question and were most commonly grouped with teacher or student centered activities. Answers to the question concerning what students should know and be able to do was found in 39 activities grouped primarily under teacher centered or curriculum centered.

Table 8

All Phase III activities and matrix placement

		know and do	learning experiences	What does it take to change	accountable	Total
	All Activities	39	63	23	32	154

The question of what does it take to change schools and who is accountable for those changes were answered by 23 and 32 activities respectively.

Categorization of plan activities

What do we want students to know and be able to do?

As with the rationales, this question was the most frequently answered of the four questions as defined by the plan activities. See table 9. This question also contained the most elements that were categorized in the transformation category. With the exception of two plans that did not include activities coded as curriculum revision or review, all of the plans contained activities designed to define what students should know and do. Only one of the plans that addressed this question, expressed satisfaction with the districts current curriculum. The district that indicated satisfaction with the current state of the curriculum was committed to continuing to teach what was described as basic skills. The resulting curriculum activities were coded to the excellence category.

Five of the plans contained elements describing collaborative curriculum reviews but did not link new learning outcomes and new assessments. The narratives for the activities described the learning outcomes and assessments as separate activities that were not interdependent or related. These activities were coded to the professionalization category.

Fifteen of the plans included descriptions of a curriculum development process designed to specifically redefine curriculum in terms of new learning outcomes. The most common curriculum review process included teachers working collaboratively to review related literature, establish new outcomes, and new assessments. The curriculum activities frequently included references to developing curriculums that emphasized higher order thinking, complex thinking, problem solving, activity based learning and multiple intelligence. The new assessments were described as authentic assessments or alternative assessments and were linked to the new outcomes. The fifteen plans were coded to school transformation.

Table 9

Content Analysis category placement of Phase III activities

question	no response	Excellence	Professionalization	<u>Transformation</u>	
				Awareness	implementation
a	2	1	5	9	6
b	2	0	13	5	3
c	2	4	9	4	4
d	7	7	3	3	3
total	13	12	30	21	16

a= What do we want students to know and be able to do?

b= What kinds of learning experience produce these results?

c= What does it take to transform schools into places where this happens?

d= Who is accountable for ensuring that these desired effects are achieved?

What kinds of learning experience produce these results?

Answers to this question were predominately in the form of staff development programs and individual growth plans. Two of the plans did not contain activities that could be coded to this question. See Table 9.

Thirteen plans contained staff development activities that included both district directed and individual choice. Staff development activities created by the district usually contained a large number of choices in a broad range of activities. These plans did not demonstrate a connections between the development of new learning outcomes and the staff development were coded to the professionalization category.

Eight plans contained activities that were coded to the transformation categories. Although these activities were virtually identical to the activities in the professionalization category, they differed in regard to how the activities were selected and linkage between the know and do question and other plan components. In these plans, there were strong indications that teachers were involved in selecting the staff development activities based on their perceived

needs and the goals established through outcomes development. The plans described a process of establishing new outcomes and then developing staff development activities to strengthen teachers skills to reach those outcomes.

What does it take to transform schools into places where this happens?

The plan activity most commonly coded to this question included shared decision teams, often called site improvement or school improvement teams. See table 9. There were eight schools that described teachers as clearly involved in decision making. These eight schools acknowledged the need to have teachers, staff and community involved in the improvement of schools. All eight schools included activities designed to build a sense of community within the local school. Teacher participation in site based decision making teams with decision making authority beyond the Phase III plan was the most frequent activity coded to the transformation categories.

Two of the schools coded to the transformation category did not include site based decision making teams but described activities in which teachers were taking additional responsibilities for mentoring, developing curriculum and establishing district wide outcomes. These activities described shared decision making roles at a district level rather than a building level.

The plans in the professionalization category included examples of teaming and collaboration but the narratives did not indicate that these activities were connected to other plan components. Collaboration for the development of innovative pilot programs was evident in two plans but neither plan demonstrated connections between the innovative programs and other plan components.

Plans placed in the excellence category generally placed a strong emphasis on extended learning experiences for students. The use of extended learning experiences was viewed as an excellence indicator when the plan activities did not

include components that suggested the school was investigating improved instructional delivery system. The four schools in the excellence category viewed the need for remediation as a student problem. In these plans, there was no apparent effort on the part of the school to consider alternative instructional approaches. Summer school, before and after school tutoring and Saturday school all appeared to be more of the same instruction and learning experiences provided during regular school.

Who is accountable for ensuring that these desired effects are achieved?

Although only seven schools did not have any component coded to this question, only six of the plans clearly addressed the question at a transformational level. See Table 9. The six schools that were coded to the transformation categories, included activities to develop connections between the school and the community. These connections included parent participation in defining learning outcomes, new assessments, organizational changes and changes in governance. The schools were coded to transformation categories because of the changes suggested inter-group accountability for the success of the school. The three schools placed in the implementation category had extensive evidence that formal transformation groups, consisting of school and community were actively involved in the success of the school. The other three plans included multiple opportunities for the community to be involved in school decisions. For all activities placed in one of the transformational categories, shared accountability for the success of the school was clearly evident.

Plan Congruence

Plan congruence is the level of agreement between the plan rationale and the plan activities. The congruence was determined by comparing the results of

the CA of the rationale to the CA of the activities for each of the four questions.

Plans with both rationales and activities that were in agreement and coded to the same categories were considered congruent.

What do we want students to know and do?

The level of agreement between the rationales and activities was high to this question when compared to the level of congruence to other questions. Table 10 represents the results of the CA of rationales and activities. Nineteen of the plan rationales were supported by complementing activities. The plan rationales coded to the know and do question generally described the need to update curriculum and establish the conditions for defining student achievement. The complementing activity, typically curriculum development, was described in the same terms as the rationale.

Plans 12 and 15 included narrative describing the need to develop and maintain quality curriculum and standards of learning but failed to contain any plan activities associated with curriculum development or curriculum review. Plans 21 and 4 contained no evidence of curriculum considerations in the rationale but contained an extensive curriculum development activities. These plans described a curriculum review process in which teachers worked collaboratively to develop a progressive curriculum based on redefining learner outcomes designed to meet the changing needs of the 21st century. Plan 2 also included evidence that new assessments were considered an integral part of curriculum development.

What kinds of learning experiences produce these results?

The level of congruence in plan rationales and activities was the highest of all the four questions. See Table 10. The CA results indicates that 20 of the plans

contained both rationale coded to this question and supporting plan activities demonstrating similar characteristics.

Plans 2, 16 and 18 contained strong transformational rationale that was linked to all of the other plan components. Each of these plans contained activities that were in support of the rationale. A distinguishing characteristic of these plans was the ease of coding and categorization. These plans were clearly and distinctly stated and used consistent transformational terminology throughout the plan. The plans contained similar rationales and activities focused on new learning outcomes, the development of alternative assessments, collaborative curriculum development and higher order thinking that were supported by staff development.

Plans 1 and 3 did not address the learning question in either the plan rationale or plan activities and were considered in congruence with each other. Although not included as part of the Phase III plan, there were indications that staff development was supported by the general school budget.

What does it take to transform schools into places where this happens?

The level of congruence between rationales and activities was lowest in answers to this question. See Table 10. Plans 4, 5 and 21 did not address this question in the plan rationale but contained activities that were coded to either the excellence or professionalization category. Plan 4 contained extensive extended student learning opportunities including tutoring, remediation and enrichment classes, mock trial, future bowl, Special Olympics and math bee but provided no rationale for the inclusion of these activities under Phase III. Plan 5 included similar extended learning activities plus compensation for teacher participation on a number of student intervention teams without supporting rationale. Plan 21 described activities that clearly involved teachers in limited decision making roles that were not supported in the plan rationale.

Plan 10 contained rationale narrative that placed an emphasis on teachers working together in peer coaching teams yet failed to contain any peer coaching or networking activities. Plan 17 did not address this question in the rationale but contained extensive activities that included new roles for teachers, shared decision making, peercoaching and networking with other schools. Plan 19 included rationale and citations supporting the need for peer observation, the development of a collective and individual vision of a successful school organization but activities coded to this question were extended learning experiences for students.

Who is accountable for ensuring that these desired effects are achieved?

In response to this question, fourteen plans were considered congruent. See Table 10. Six of the plans were considered congruent because neither the rationale or the activities contained elements that could be classified as answers to this question. Three of the five plans that contained performance based pay were congruent, plans 1,4, and 19. Plan 8 included PBP without any supporting rationale. Plan 5 contained PBP and limited rationale for inclusion in the plan but the rationale also contained extensive narrative describing the need to develop a shared vision of new learning and a new learning organization and the need to involve teachers, community and students in decisions that affect the organization.

Six plans included no information in the rationales that could be categorized to the accountability question but included activities that were coded to the question, plans 16 and 17 were categorized to one of the transformation categories. In both plans the activities indicated that a shift in accountability was desired and that extensive planning had taken place to begin this process.

Cohort scores for the four questions plans provides a prospective not easily seen when considering only the categorization by question. See Table 16. Plans 2,14,16 and 18 were the only plans that were coded to one of the transformation

categories for both rationale and activities for all four questions. Plans 2 and 18 were two northern Iowa schools who had developed a "collective plan" that combined Phase III, staff development, and design teams for drug free schools. The plan was written collaboratively with the assistance of the local Area Education Association. Both plans had identical rationales and similar activities. The focus of the rationale was systemic school improvement with an emphasis on defining the core mission of the school, redefining the content and process of effective instruction, an emphasis on collaborative leadership and the involvement of the school and community in shared decision making. The plan rationales included subsections on Drug Free Schools, resiliency, staff development, assessment and Action Research. The Phase III goals listed in the plans reinforced each of the focus areas. The narrative for the activities were brief in comparison to the length of the rationale, one half page compared to six page, and described each of the rationale focus areas and subsections with general activities. Plan 2 included no further information while plan 18 included six pages of supporting documents including a section describing 3 additional days of staff development, the existence of study teams, leadership training and provisions for group and individual projects.

Table 10

Summative table of plan congruence and CA matrix placement

plan	question ¹	no answer ²	excellence	professional	awareness	implementation
1	a				✓	
	b	✓				
	c	- rationale	+ activity			
	d		✓			
2	a					✓
	b					✓
	c					✓
	d					✓
3	a				✓	
	b	✓				
	c			✓		
	d	- rationale		+ activity		
4	a	- rationale				+ activity
	b			✓		
	c	- rationale		+ activity		
	d		✓			
5	a				+ activity	+ rationale
	b			✓		
	c	- rationale		+ activity		
	d	- rationale	+ activity			
6	a				✓	
	b				✓	
	c				✓	
	d	- rationale			+ activity	

(table continues)

Note: congruent plans indicated by checked shaded cells, + indicates the presence of the item, - indicates the absence of the item

1 a= What do we want students to know and be able to do?

b= What kinds of learning experience produce these results?

c= What does it take to transform schools into places where this happens?

d= Who is accountable for ensuring that these desired effects are achieved?

2 Question not addressed in plan

Table 10 (continued)

Summative table of plan congruence and CA matrix placement

plan	question ¹	no answer ²	excellence	professional awareness	implementation
7	a				✓
	b		✓		
	c		✓		
	d	✓			
8	a		✓		
	b		✓		
	c		✓		
	d	- rationale	+ activity		
9	a				✓
	b		✓		
	c		+ activity	+ rationale	
	d	✓			
10	a		✓		
	b		✓		
	c	- activity	+ rationale		
	d	✓			
11	a				✓
	b		✓		
	c	✓			
	d	✓			
12	a	- activity			+ rationale
	b		✓		
	c		✓		
	d	✓			

(table continues)

Note: congruent plans indicated by checked shaded cells, + indicates the presence of the item, - indicates the absence of the item

1 a= What do we want students to know and be able to do?

b= What kinds of learning experience produce these results?

c= What does it take to transform schools into places where this happens?

d= Who is accountable for ensuring that these desired effects are achieved?

2 question not addressed in plan

Table 10 (continued)

Summative table of plan congruence and CA matrix placement

plan	question ¹	no answer ²	excellence	professional awareness	implementation
13	a		✓		
	b		✓		
	c		✓		
	d	✓			
14	a			+ rationale	+ activity
	b			+ activity	+ rationale
	c				✓
	d				✓
15	a	- activity		+ rationale	
	b		✓		
	c		+ rationale	+ activity	
	d	- activity	+ rationale		
16	a				✓
	b				✓
	c				✓
	d			+ activity	+ rationale
17	a			✓	
	b			✓	
	c	- rationale		+ activity	
	d	- rationale		+ activity	
18	a				✓
	b				✓
	c				✓
	d				✓

(table continues)

Note: congruent plans indicated by checked shaded cells, + indicates the presence of the item, - indicates the absence of the item

1 a= What do we want students to know and be able to do?

b= What kinds of learning experience produce these results?

c= What does it take to transform schools into places where this happens?

d= Who is accountable for ensuring that these desired effects are achieved?

2 question not addressed in plan

Table 10 (continued)

Summative table of plan congruence and CA matrix placement

plan	question ¹	no answer ²	excellence	professional awareness	implementation
19	a		✓		
	b		✓		
	c	- activity	+ rationale		
	d	✓			
20	a			+ rationale	+ activity
	b			✓	
	c			✓	
	d		✓		
21	a	- rationale		+ activity	
	b		✓		
	c	- rationale	+ activity		
	d	- rationale	+ activity		
22	a		✓		
	b		✓		
	c	✓			
	d	✓			
23	a		✓		
	b			✓	
	c		✓		
	d		✓		

Note: congruent plans indicated by checked shaded cells, + indicates the presence of the item, - indicates the absence of the item

- 1 a= What do we want students to know and be able to do?
 b= What kinds of learning experience produce these results?
 c= What does it take to transform schools into places where this happens?
 d= Who is accountable for ensuring that these desired effects are achieved?
 2 question not addressed in plan

A third plan that was coded predominately to the transformation implementation category, plan 14, contained rationale language that emphasized the development of new learning outcomes that included higher levels of thinking and complementing assessments. The rationale included narrative describing a

staff development program that supported learning related to new student outcomes. The rationale also included a section describing the need to include the school board, parents, staff and patrons in active leadership roles designed to transform the local educational system. The plan activities supported each of the points described in the rationale however the activities were inconsistent with the rationale in two points. Although no mention of community and patron participation in developing new student outcomes was mentioned in the rationale, the plan activities clearly indicated that a broad section of the community was involved in the development of the new outcomes. The second inconsistency was that although staff development was related to new student learning, there was evidence that professional growth activities were selected by a small group of teachers and administrators without input from the majority of the staff. There was nothing in the plan to indicate that the school was working with outside facilitators in developing the plan.

A fourth plan, plan 16, exhibited a number of transformational indicators. The plan included the development of new learning outcomes and assessments, supporting staff development and an emphasis on systemic change. The rationale included narrative indicating a strong commitment to community involvement but failed to provide equally strong community involvement in the transformation activities. The plan narrative contained evidence that the district was working collaboratively with the New Iowa Schools Corporation to integrate the Phase III plan with 280.12/280.18 goals and general school improvement projects. Of special note is that only four plans in the sample included evidence of outside facilitation in the plan development process, the three plans previously discussed and plan 5. Plan 5 had evidence that the district had recently began working with the New Iowa School Development Corporation to develop new student learning expectations and assessments.

Plan 17 was unique in that all of the activities were coded to the awareness or implementation categories of transformation but the rationale failed to address the question of what it takes to transform schools or who is accountable. The plan included supporting documentation that indicated that two schools had recently consolidated. The supporting documents, some drawn from each school, demonstrated some of the same inconsistencies found in the Phase III plan. Another characteristic of the plan was that three of the six activity descriptions interpreted transformation activities in unconventional ways. For example, alternative assessments were interpreted so broadly that almost any assessment including traditional multiple choice test could fit the description. The information was reluctantly coded to transformation on the strength of the key words of alternative assessment and new learning outcomes rather than the plan interpretation of what constituted new learning outcomes and alternative assessments. There was a subtle feeling by the researcher that the plan was relying heavily on educational trends without understanding the reasons behind the trends.

A final plan worthy of individual note was plan 23. This plan was coded to the excellence category for every question except one. The plan relied heavily on continued use of the current curriculum review process and staff development that "...allows teachers to gain new experiences and knowledge through courses and workshops." The plan demonstrated no connections between the various plan elements. Although the plan did contain rationale indicating the need for community involvement that involvement was interpreted as an annual parenting class. One of the three goals of the program was an extensive remediation and summer program. A second goal gave each teacher \$250 to use for workshops, conferences and workshops. A third goal called for continuation of the Effective

Schools Process based on "...the use of standardized test item analysis for the purpose of targeting deficient areas."

Congruence or agreement between the rationale and activities was found in 65 of 92 possible occasions for an overall congruence of 71%. Sixteen of the twenty-three plans were congruent in possible responses to the question of what students should know and be able to do for a congruence rate of 70%. Twenty two of the plans were congruent in rationale and activities to the question concerning the types of learning experiences required to produce these desired results for a congruence rate of 96%. The potential answers to the question concerning what does it take to transform schools were congruent on 14 occasions for a congruence rate of 61%. The answers to the question of who is accountable for schools was also congruent on 14 occasions for a congruence rate of 61%. There were seven plans that where the rationale and the activities were congruent in potential answers to all of the questions that form the basis for this study.

Summary

This chapter describes the reform efforts initiated at the local school district level as reflected in Phase III plans submitted under the Iowa Educational Excellence Program. The Phase III plans analyzed displayed a wide variety of characteristics. The analysis of the citations indicated only one pattern between the number or type of citations and other characteristics of the rationale, activities or the agreement between the rationales and activities. That pattern was that four of the five plans that contained PBP supported the PBP with citations dated from 1984 or earlier.

Using Content Analysis, plan rationales and activities were coded to a matrix that classified information from the plans into possible responses to four questions

that emerged from the review of literature on school transformation. The four questions were "What should students know and be able to do?", "What kinds of learning experiences produces these kinds of results?", "What does it take to transform schools into places where this happens?" and "Who is accountable to see that these things happen?" "Who is accountable to see that these things happen?" Fourteen rationales were classified to the transformation category for the know and do question while 6 rationales contained transformational answers to questions two and three. The question of who is accountable for ensuring that these results are achieved was answered with transformational responses in four plans.

An analysis of the plan activities concluded that 55 of the 154 activities were classified as teacher focused. These activities focused on staff development in a number of areas. An additional 29 activities were classified as student focused with the most common activities being remediation or enrichment opportunities for students. Curriculum focused activities accounted for 29 activities with the development of new outcomes and assessments as the most common activities. Five of the Phase III plans contained performance based pay components while 36 activities were classified under organizational improvement. The most common organizational improvement activity was Phase III committees with various degrees of decision making authority.

The plan activities were classified according to which of the four transformation questions that each answered. Almost half, 63, of the activities were classified as answers to "What kind of learning experienced produce these results?" Thirty-nine of the activities were classified to the know and do question with 23 classified as answers to the question "What does it take to transform schools into places where this happens?" Thirty two of the activities were classified to the question "Who is accountable to see that these things happen?"

Plan activities were coded using the same matrix used for plan rationales. The activities for 15 of the plans were classified to the transformation category for the know and do question while 6 rationales contained transformational answers to the question concerning what types of learning results produce these results. Seven plans were classified as transformational answers to the question of what does it take to transform schools into places where this happens. The question of who is accountable for ensuring that these results are achieved was answered with transformational responses in six plans.

One of the questions that this study addressed was the level of agreement or congruence between the plan rationales and the plan activities. The 23 plans were each categorized for the four questions for a total of 92 sets of rationales and activities. The plans rationales and activities were in agreement on 65 of the 92 possible agreements for an agreement rate of 71%. The level of congruence was highest to what kinds of learning experiences produce these results with 20 of the 23 plans congruent. Congruence was lowest to the question of what does it take to transform schools into places where this happens, with 13 of the plan rationales and activities being coded as congruent.

An incidental finding of the study was that of the 23 plans in the sample, four included evidence that the school was actively working with outside leadership facilitators to develop the plan. Of the four schools, three were classified to the transformation categories for all four questions guiding this study.

Chapter 5

Findings, Implications, and Recommendations

Summary

Since 1983, three different educational reform waves have swept across America's public schools. These waves of reform were prompted by a series of reports indicating that American students were not achieving at as high a level as previously witnessed. Each of the waves was based on assumptions about teaching, learning and organizations. Although the first two waves were supported by what was known about school improvement at the time, both failed to result in wide spread school reform. School reform is currently in the third wave, typically called school transformation or school restructuring. This wave grew out of an increasing belief that schools were not designed to support the kinds of changes that were required for schools to be successful. Third wave reformers advocate for system or whole-school transformation, insisting on the coordination of multiple changes throughout the school organization.

As a result of a desire to support educational excellence, Iowa's 72nd General Assembly passed the Iowa Educational Excellence Act. Phase III of the act, initially intended to support the development of Performance Based Pay for teachers, has since been refocused to support comprehensive school transformation." With this act, Iowa took the unique approach of challenging schools to support school transformation through a local plan development and implementation process. The state charges schools districts to appoint a committee of teachers, parents, community members and administrators to develop a local plan to meet the intent of the legislation. Each committee is to review the current literature on school transformation, develop a plan rationale, develop

activities to support the rationale and determine how the plan will be assessed. Once the school board has approved the plan, the only monitoring conducted by the state is the requirement of an end of the year financial report completed by the district and filed with the Iowa State Department of Education.

The literature citations, rationales, activities and the congruence between the rationales and activities developed for a sample of 23 Phase III plans submitted for the school year 1994-95 comprised the data source for this study. Content Analysis methodology was used to classify and categorize the plan rationales and activities. The four questions guiding the study were: What sources of school improvement literature and recommendations are cited in Phase III rationales and literature reviews?. What rationales are developed for Phase III plans? What activities are proposed in Phase III plans?. What is the congruence between the plan rationales and the plan activities?. Plan congruence, as defined for this study was the agreement of plan rationales and plan activities as distinguished by the characteristics of the three most recent waves of educational reform and four broad questions prevalent in current school transformation literature.

Findings

Question 1: What sources of school improvement literature and recommendations are cited in Phase III rationales and literature reviews? The information analyzed from the sample did not prove adequate for drawing conclusions concerning this question. The method of referencing varied from plan to plan and often within plans. These variations made data gathering difficult and incomplete. Because of the incomplete data, further investigation was not pursued. A fact worthy of note is that of the 81 citations, 43 gave publication dates consistent with the general time period associated with the school transformation reform.

Question 2: What rationales are developed for Phase III plans? The Phase III rationales analyzed for this study indicate that those developing the rationales are not consistently responding to the questions guiding school transformation. A majority of the plans (14) place an emphasis on redefining what students should know and do and new assessments for measuring student progress toward these new learning goals. The number of rationales that could be classified to the transformation categories drops to seven for what kinds of learning experiences produce these results and what does it take to transform schools into places where this happens. Four Phase III plan rationales were considered transformational to who is responsible to see that these desired effects are achieved. The matrix used in the study considered potential responses for four transformational question for each of the 23 schools for a total of 92 potential responses. Of the 92 potential responses only 32 were classified to one of the transformation categories for a transformation response rate of 35%.

Question 3: What activities are proposed in Phase III plans? The Teacher Focused, Curriculum Focused, and Organizational Improvement activities conducted as part of the Phase III plans analyzed are generally consistent with the recommendations found in the school transformation literature cited in this study. The broad range of activities in these categories appear designed to improved the capacity of the teachers, the organization and the curriculum to meet the changing needs of students. The Performance Based activities and Student Centered Activities found in this study are not supported by school transformation literature reviewed in this study. Although many of the Student Centered Activities appear to be worthwhile and appropriate activities for educational involvement, they do not appear to lead to real and fundamental change in the educational system as called for by the Iowa Educational Excellence Act.

Question 4: What is the level of congruence between the plan rationales and plan activities? Phase III rationales and activities are not consistently congruent. Of the 23 plans studied, 19 were congruent to what do we want students to know and do, 20 were congruent to what kinds of learning experiences produce these results, 14 were congruent to what does it take to transform schools into places where this happens and 14 were congruent to who is accountable for ensuring that these desired effects are achieved. The overall level of congruence was 63 of a possible 92 for an overall congruence rate of 71%. Seven Phase III plans were considered congruent to all four questions.

Recommendations for further study

1. This study provides a cross section of Phase III plans.. Many of the schools appear to be making progress toward transformation but the data does not indicate if these are static states or transitional states. A longitudinal study of plans could investigate the developmental relationship between plan rationales and plan activities.

2. The analysis of the Phase III plans is one indicator of progress toward school transformation however, the analysis does not inform on practice. A study of schools submitting transformational Phase III plans could provide information concerning the level of actual implementation of plan activities..

3. This study supports the literature reviews assumption that there is a link between leadership and school transformation. A study investigating the various

leadership roles in school districts could provide information concerning who is leading the school transformation process in Iowa.

4. This study was limited to schools with enrollments of near 1,000 students. Further study could investigate Phase III plans for schools of larger or smaller enrollment.

5. Some of the schools in this study appear to have interpreted site based management as the local school district as opposed to individual buildings. This interpretation may be a result of the relationship between Iowa communities and community schools. Another possibility is that because the schools in the study were small (1,000 students) and schools are so interdependent through shared buildings and staff that the local district is synonymous with the local site. The literature on shared decision making contains little direction as to how the size of a district influences the best locus of control for shared decision making.

Implications

Profession

1. The literature on school transformation suggest that change is most likely to happen if the people closest to the student are given the authority and resources to make those changes (Murphy, 1990). The formation of leadership teams with the power to act has the potential to transform systems (Dolan, 1994a). The Phase III rationales and activities analyzed in this study indicate that in schools where teachers and community members are working collaboratively, progress is being made toward school transformation. In these schools, there are planned and intentional efforts to bring people together for the purpose of improving the school.

In schools not involved in teacher and community based collaboration there is little evidence that transformation is taking place. This supports Neal's (1991) theory that shared decision making and problem solving are preludes to change.

2. In schools involved in transformation, there is evidence that the existing leadership has empowered others to participate in decision making (see table 7). This supports Fullan's (1990) assumption that evolutionary planning must involve the direct support of those who currently hold decision making power. It is a safe assumption that in schools actively pursuing transformation, the superintendent or school board is at least playing a supportive role and more likely providing the impetus for effort.

3. The Iowa Phase III plans in this study (21 of 23 plans) are supporting professional growth for teachers in one form or another. The most common source of the staff development activities are local Area Education Associations. Regardless of whether a school was involved in transformation or not, Phase III Teacher Focused Activities support the basic tenets of school transformation. Senge (1990) suggest that unfocused activities do not lead to organizational development yet Showers' et al.(1987) research indicates that people who develop competency in an innovation become committed to broad scale implementation. The Iowa Phase III program has provided funding for extensive staff development activities. The impact of these activities on teacher skills and beliefs could affect local school's movement toward transformation.

Practice

The analysis of the Phase III plans provides evidence of a wide range of interpretations of what constitutes school transformation as well as what is the

purpose of the Iowa Educational Excellence Program. Although transformation is taking place at various levels in some schools in the sample, it is evident by the plan rationales and activities that many school districts do not exhibit a clear understanding of school transformation. Based on the analysis of the information found in the Phase III plans of this study, the following recommendations are made:

1. Improve the focus of the Phase III Program both locally and at the state level. Although Phase III is promoting school transformation, the results are erratic and unfocused. While the original legislation was open-ended and allowed broad interpretation, the 1990 transformational amendment established a new goal for the program. The Iowa State Department of Education should clarify expectations for the program. Part of this clarification should be the elimination of supplemental pay and performance based pay as acceptable plan components. Student focused activities are typically classified under Phase III as supplemental pay and do not meet the test of "...real and fundamental change..." The majority of student focused Phase III activities found in this study would be more appropriately funded through local general school budgets. Performance Based Pay plans are in conflict with school transformation by emphasizing individual performance as opposed to school wide improvements. Local Phase III committees should not include these components in Phase III rationales or activities.

2. If Iowa's schools are to transform, the Iowa State Department of Education must take an active role promoting and supporting those efforts. There was little evidence found in the 23 sample plans analyzed that the Iowa Department of Education was influencing school transformation.

The Iowa Department of Education can influence schools and communities by publicly supporting transformation through a campaign of state wide

dissemination of information concerning the need for transformation and a continued emphasis on the coordination of school programs with comprehensive school improvement. This does not mean that the state commitment to local control should be compromised but rather provide a more visible support for school transformation.

3. The Iowa Legislature should promote transformational leadership by making administrators eligible for participation in Phase III. While the original legislation focused on performance based pay, Phase III has evolved to placed an emphasis on school transformation. According to the literature on school transformation and the findings of this study, without administrative participation, school transformation may never take place. Those who hold administrative positions have the power to initiate and sustain the process. Iowa superintendents, principals and other administrators are key players the transformation process and must be included in the process.

4. The Iowa Department of Education should strengthen AEA's roles in facilitating school transformation. This would strengthen the statewide transformation infrastructure available for direct assistance to schools. AEA's participation in Phase III activities should be directly tied to the development of partnerships with schools that wish to pursue school transformation. Although there is evidence of this happening in some AEAs there does not appear to be a well articulated support system for school transformation in all AEAs. A consistent statewide program of training of trainers, promotion of transformational models, dissemination of information and resources, and transformational oriented staff development opportunities would provide a consistent message for statewide support.

The data from this study indicates that three of the four schools actively pursuing school transformation were working collaboratively with external leadership facilitators. The data also indicates that there was no evident of external collaboration in those school not actively working toward transformation. Although this data is not convincing enough for either a finding or a recommendation, Iowa schools may well be advised to determine the local expertise and capacity for leading such a change process as school transformation.

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Appendix A

Phase III Application Packet

State of Iowa
DEPARTMENT OF EDUCATION
Grimes State Office Building
Des Moines, Iowa 50319

State Board of Education

Ron McGauvran, President, Clinton
Betty L. Dexter, Vice President, Davenport
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Mary Jean Montgomery, Spencer

Administration

Al Ramirez, Director and Executive Officer of the
State Board of Education
Gail Sullivan, Acting Special Assistant

Division of Elementary and Secondary Education

Ted Stilwill, Administrator

Bureau of School Administration and Accreditation

Dwight R. Carlson, Chief
Edith L. Eckles, Consultant

It is the policy of the Iowa Department of Education not to discriminate on the basis of race, religion, national origin, sex, age, or disability.

The Department provides civil rights technical assistance to public school districts, nonpublic schools, area education agencies, and community colleges to help them eliminate discrimination in their educational programs, activities, or employment. For assistance, contact the Bureau of School Administration and Accreditation, Iowa Department of Education.

1994-95 Phase III Application Packet

In order to maintain and advance educational excellence in the state of Iowa, a three-phase program called the Educational Excellence Program was established by the Seventy Second General Assembly. Phase I addresses the recruitment of quality teachers. Phase II is designed to retain quality teachers. Phase III is to enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence. This Application Packet deals specifically with Phase III and provides the format by which Districts and Area Education Agencies may submit their performance-based, supplemental, and comprehensive school transformation pay plans.

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NOTE: The 1994-95 Phase III Application Packet contains substantial changes from the original legislation, administrative rule, application directions and application evaluation criteria. It is important to read all materials before developing the application. Questions should be directed to:
Edie Eckles, Department of Education, 515-281-5332

1994-95 Phase III Application Packet

Goal

The goal of Phase III is to enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence. This is to be accomplished through the development of performance-based pay plans, supplemental pay plans requiring additional instructional work assignments, and comprehensive school transformation plans.

Intent

It is the intent that Districts and AEAs incorporate into their planning the implementation of recommendations from recently issued national/state reports and publications relating to the requirements of the educational system for meeting future educational needs.

Application Evaluation Focus

The focus on the evaluation of the Phase III applications is: How will paying teachers to implement these recommendations help to redesign the educational system to better meet student needs?

Application Due Date

District applications must be submitted to the Department of Education by no later than May 31, 1994. AEA applications must be submitted to the Department of Education by no later than June 15, 1994.

Application Procedures

Applications may be submitted by the Board of a local District or Area Education Agency, either individually or jointly with other Districts or AEAs. A District or AEA may submit no more than one plan.

The plan may have separate components for different buildings, disciplines, or multidisciplinary teams but **must be submitted as one unit**.

Program Requirements

The minimum requirements for program proposals are defined in Iowa Code sections 294A.12-20 and Iowa Administrative Code Chapter 91. A copy of Iowa Code Chapter 294A and Iowa Administrative Code Chapter 91 is included with the Guidelines.

Plan Amendments

Amendments may be submitted to the Department of Education at any time during the 1994-95 plan year on forms provided by the Department in the format specified by the Department. Amendments must receive Department approval **prior to** implementation. An amendment packet containing instructions and forms will be included with notification of application approval.

Funding

The payments for an approved plan for a District are equal to the product of a District's **budget enrollment (1993-94)** and \$49.14 (estimate), and for an AEA are equal to the product of its **enrollment served (1993-94)** and \$2.31 (estimate). The exact per pupil amount is dependent upon the amount of funding available. The exact amount of funding is determined after the Governor has signed the education appropriations bill. The specific funding amounts are usually ready to announce the week of July 1st.

Budgets

Phase III budgets shall not exceed the allocation and the 1993-94 carryover. Up to 50% of the 1993-94 Phase III moneys allocated may be retained in order to continue a 1994-95 approved plan.

For planning purposes, 1994-95 funds may be encumbered only if the approved activity begins on or before June 30, 1995 and concludes in time to be reported in the final report due October 1, 1995.

Payments

Payments for Phase III of the Educational Excellence Program shall be made by the Department of Revenue and Finance on a monthly basis commencing on October 15 and ending on June 15 of each fiscal year.

Final Report

Each District and AEA receiving Phase III funds during a school year shall file a final report with the Department of Education. District reports shall be filed by October 1 of the next following school year; AEA reports shall be filed by November 1 of the next following school year. The report shall describe the plan: its objectives, its implementation, the expenditures made under the plan including the salary increases paid to each eligible employee, the extent to which its objectives were attained, and the results of the plan.

General Directions

1. Read carefully the Phase III legislation (section 294A.12 - 20), the Administrative Rules, the Application Directions, and the Application Evaluation Criteria.

2. Complete all seven sections of the application in the format specified in these Directions. The application will contain the following:

- Section 1: Basic Program Data
- Section 2: Budget Estimate
- Section 3: Assurance: Bargaining Rep.
- Section 4: Assurances: Dist/AEA Officials
- Section 5: Plan Rationale
- Section 6: Plan Design
- Section 7: Plan Evaluation

Complete Sections 1 - 4 on the forms provided

3. Number all pages consecutively at the bottom center. Section 5 will begin with page 5.

4. Use only a staple in the upper left corner to bind the application. N.B.: Do not bind, cover, or in any way package the application in folders, notebooks, etc.

5. District applications must be postmarked by May 31, 1994; AEA applications must be postmarked by June 15, 1994.

6. Submit one typed, legible copy, on white paper, postmarked by the appropriate deadline to:

Educational Excellence Program: Phase III
School Administration and Accreditation
Iowa Department of Education
Grimes State Office Building
Des Moines, IA 50319-0146

Application Directions

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1. Complete Section 1, Basic Program Data, in its entirety (form, page 1).
2. Complete Section 2, Budget Estimate, in its entirety (form, pages 2 & 3).

Line A.1: Use the budget enrollment (third Friday in September, 1993).

Line A.5: Estimate any Phase III funds to be received from other districts/AEAs. Include funds for students who are part of a sharing agreement, special education, open enrollment, regular tuition, etc. Estimate \$49.14/student (Districts) or \$2.31/student served (AEAs).

Line A.6: Estimate any Phase III funds to be sent to other districts/AEAs. Follow the guidelines for determining students and funding listed in Line A.5 above.

Line B.5: Estimate the indirect cost amount. Use the 1994-95 restricted rate times line A.3.

Line C.: Specify each purchased service expenditure included in line B.4.

NOTE: Consultative services should not detract from providing salary increases to teachers. As a guideline, the Department of Education will question expenditures for direct consultative services that exceed 10% of the allocation.

Line E.: Specify the program budget.

3. Complete Section 3, Assurance: Bargaining Representative, in its entirety (form, page 4).
4. Complete Section 4, Assurance: District/AEA Officials, in its entirety (form, page 4).
5. Complete Section 5, Plan Rationale, by:

A. describing the rationale for the Phase III plan. Cite the specific recommendations from national and state reports and publications relating to the future of the education system which are to be implemented in the plan and cite the sources referenced, (e.g., Fullan, The New Meaning of Educational Change, 1991); and

B. incorporating into the rationale the specific instructional goals identified under Iowa Code section 280.12 and 280.18 (for Districts), and section 273.4 (for AEAs) which are pertinent to the plan. Describe how the plan's design is an integral part of the district/AEA comprehensive effort at meeting these goals.

6. Complete Section 6, Plan Design, by providing the information requested for the appropriate program component(s) being implemented:

A. Performance-Based Pay Plan Design Directions

1) Describe the plan design by using the process and performance objectives established to fulfill the 280.12, 280.18, or 273.4 goals identified in section 5.B. For examples of process and performance objectives, see the *Phase III Program Evaluation Sourcebook*, pp. 10-15, and 23-30.

NOTE: It is not required for Phase III plans to be written in both process and performance objectives. However, Phase III plans must be written in process objectives, or performance objectives, or process and performance objectives.

2) Describe in detail the performance-based pay plan and the methods to be used to determine the demonstrated superior performance of participating teachers in completing assigned duties. The methods shall include, but are not limited to, the observation of teacher and student performance by a person holding the evaluator approval required by Iowa Code section 272.33, and shall reflect the teacher's performance in completing assigned duties.

3) Describe how the salary is determined for participants within the performance-based pay plan.

4) Describe the timelines.

5) Attach and reference the assessment measure(s) and criteria.

6) Attach and reference all observers' Iowa Code section 272.33 evaluator approvals.

7) For a plan providing performance-based pay to individual teachers, submit the definition of demonstrated superior performance in completing assigned duties. The definition of superior performance must be defensible. Describe the method(s) to be used to determine the superior performance of a teacher in completing assigned duties.

8) For performance-based pay plans which provide for a teacher to set individual performance targets, the performance target shall directly relate to the teacher's demonstrated superior performance in completing assigned duties. The performance target shall be written as a performance objective.

9) If the performance-based pay plan provides for additional salary for teachers assigned to an attendance center, multidisciplinary team, or specific discipline, describe how the specific performance objectives will be determined and how the outcomes will be assessed. The specific performance objectives shall relate directly to the improvement of student achievement. The receipt of pay shall be determined on the basis of whether the adopted specific performance objectives are met by the team.

NOTE: Performance-based pay plans shall not: provide for salary increases to teachers for completing additional duties, provide for salary increases to teachers based on a teacher's attendance record, or provide for salary increases based on a teacher's organizational membership.

B. Supplemental Pay Plan Design Directions

1) Describe the plan design by using the process and performance objectives established to fulfill the 280.12, 280.18, or 273.4 goals identified in section 5.B. For examples of process and performance objectives, see the *Phase III Program Evaluation Sourcebook*, pp. 10-15, and 23-30.

NOTE: It is not required for Phase III plans to be written in both process and performance objectives. However, Phase III plans must be written in process objectives, or performance objectives, or process and performance objectives.

2) Describe in detail the supplemental pay plan. Include complete, detailed descriptions of the additional activities, instructional work assignments, specialized training, or programs to be completed and developed. Describe whether these activities are to be conducted during the regular school day or during an extended school day, week, or year.

3) Describe the methods used to determine the payment of additional salary to participating teachers.

4) Describe the timelines.

5) Staff Development:

a) For plans which provide specialized training, summer staff development programs, and staff development programs to be presented during the school year, describe how these efforts are integrated into the district staff development plan as required in the school standards. Plans for staff development shall include, but are not limited to, the following components: theory, demonstration, practice, peer coaching, and feedback.

- b) Submit a copy of the three-year staff development plan required by the school standards.

6) Individual Teacher Projects:

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- a) Describe the process by which teachers receive approval to implement their proposals.
- b) Identify who reviews the proposals for implementation approval.
- c) Describe the criteria used to approve proposals for implementation.
- d) Specify how the projects are directly connected to the District-wide initiatives at meeting identified student achievement goals identified in the Section 5.B.
- e) Describe the process by which teachers receive approval for payment upon completion of the project.
- f) Identify who reviews the completed proposals and their accompanying documentation in order to approve payment.
- g) Describe the criteria used to approve completed proposals for payment.

C. Comprehensive School Transformation Plan Design Directions

1) Describe the plan design by using the process and performance objectives established to fulfill the 280.12, 280.18, or 273.4 goals identified in Section 5.B. For examples of process and performance objectives, see the *Phase III Program Evaluation Sourcebook*, pp. 10-15, and 23-30.

NOTE: It is not required for Phase III plans to be written in both process and performance objectives. However, Phase III plans must be written in process objectives, or performance objectives, or process and performance objectives.

2) **Districts:** Describe in detail the comprehensive school transformation plan. Describe how the plan is designed to make the educational system remain relevant, is an integral part of the District's comprehensive effort at meeting identified needs/goals, and is consistent with emerging philosophies on school transformation. Describe activities that will focus on the attainment of the student achievement goals established in section 5.B. The plan design should include a description of at least one of the elements listed below. The minimum requirements for each element are specified in the Application Evaluation Criteria. Please refer to these criteria when developing the plan design.

- a) site-based shared decision making;
- b) building-based goal-oriented compensation mechanism;
- c) innovative educational programs;
- d) focus on student outcomes;
- e) accountability for student achievement;
- f) accountability for organizational success;
- g) work to foster relationships between a school and businesses or public agencies which provide health and social services.

AEAs: Describe in detail the plan to integrate with and support the Phase III comprehensive school transformation plans submitted by the Districts within the Area Education Agency. Describe how the planned integration and support is based on the needs at the school sites, is assisting the school systems to remain relevant, and is consistent with emerging philosophies on school transformation. Describe how the activities will focus on the attainment of the districts' student achievement goals established under sections 280.12 and 280.18.

- 3) Describe the methods used to determine the payment of salary increases to participating teachers.
- 4) Describe the timelines.

7. Complete Section 7, Plan Evaluation, by:

- A. identifying the persons responsible for analyzing the evaluation data embedded in the process and performance objectives (e.g.: the District Improvement Team, the Curriculum Director, etc.);
- B. identifying the persons responsible for evaluating the impact of the plan in meeting the goals set forth in Section 5.B (e.g.: the District Improvement Team, the Curriculum Director, etc.);
- C. identifying the valid evaluation procedures to be used in measuring the impact of each objective, each component, and the plan as a whole (For examples of valid evaluation methods, see the *Guide to Assessment Planning*, developed by the Iowa Assessment Network. For additional copies, please contact your AEA Ed Services Division person responsible for student assessment.);
- D. identifying the persons and groups at the local level to receive the evaluation report (e.g.: the staff, the Board, the community, etc.); and
- E. identifying the timeline for the presentation of the evaluation report to those identified in 7.D.

1994-95 Application Evaluation Criteria

All applications will be evaluated according to the criteria listed below. While writing the application and prior to submission, review the application in light of these criteria. ¹⁰⁹

I. General Evaluation Criteria

The application:

- contains all seven sections,
- is submitted on white paper,
- is numbered consecutively,
- is bound only by a staple in the upper left corner,
- is signed by certified bargaining representative if organized for collective bargaining purposes,
- is signed by the Superintendent (for Districts) or the Administrator (for AEAs),
- is signed by the Board President, and
- is postmarked by the appropriate deadline.

II. Specific Evaluation Criteria

1. All requested information in Section 1, Basic Program Data, is accurately provided.
2. All requested information in Section 2, Budget Estimate, is accurately provided.
 - A. Consultative services do not detract from rewarding teachers.
 - B. Every purchased service has been specified.
 - C. The program budget has been specified.
3. If appropriate, the certified bargaining representative has signed and dated Section 3, Assurance: Certified Bargaining Representative, by the appropriate deadline.
4. Section 4, Assurances: District/AEA Officials, is complete with the necessary signatures affixed and dated by the appropriate deadline.
5. Section 5, the Plan Rationale:
 - A. describes how the plan design is an integral part of the comprehensive effort at meeting identified District/AEA goals;
 - B. specifies only the instructional 280.12, 280.18, and 273.4 goals which the plan seeks to meet ;
 - C. cites the recommendations and their sources from national and state reports and publications relating to the future of the education system which are to be implemented in the plan.
6. Section 6, the Plan Design has been completed according to the directions for the component(s) being implemented.
 - A. Performance-based Pay Evaluation Criteria.
 1. The Plan Design is described by using process objectives detailing:
 - a) who is to do something;
 - b) what is to be done;
 - c) the timeframe;
 - d) how someone (e.g.: auditors) outside the immediate staff will know that it has been done;

2. The Plan Design is described by using performance objectives detailing:
 - a) who is to do something;
 - b) what is to be done;
 - c) the expected proficiency level;
 - d) the timeframe;
 - e) the method of measurement to be used to determine if the proficiency level has been met.

NOTE: It is not required for Phase III plans to be written in both process and performance objectives. However, Phase III plans must be written in process objectives, or performance objectives, or process and performance objectives.

3. The plan design describes in detail the proposed performance-based pay plan, including:
 - a) the methods to be used to determine the demonstrated superior performance of participating teachers in completing assigned duties, including the observation of teacher and student performance by a person holding the evaluator approval as required by IA Code section 272.33;
 - b) how the amount of additional salary is determined for participants;
 - c) the timelines;
 - d) a copy of the assessment measure(s) and their criteria;
 - e) verification that the observer of teacher and student performance holds the evaluator approval as required by Iowa Code section 272.33.
4. A plan design for performance-based pay for individual teachers describes the definition of demonstrated superior performance in completing assigned duties and is defensible.
5. A plan design for performance-based pay that provides for a teacher to set individual performance targets:
 - a) describes how the performance target shall directly relate to the teacher's demonstrated superior performance in completing assigned duties;
 - b) requires the target to be written as a performance objective.
6. A plan design for performance-based pay for teachers assigned to an attendance center, multi-disciplinary team, or specific discipline:
 - a) describes how the specific performance objectives will be determined;
 - b) describes how the outcomes will be assessed;
 - c) requires the specific performance objectives relate directly to the improvement of student achievement;
 - d) describes how the receipt of performance-based pay shall be contingent upon the basis of the attendance center, specific disciplines, or multidisciplinary team meeting the specific performance objectives adopted for the attendance center, specific disciplines, or multidisciplinary team.

B. Supplemental Pay Evaluation Criteria

1. The Plan Design is described by using process objectives detailing:
 - a) who is to do something;
 - b) what is to be done;
 - c) the timeframe;
 - d) how someone (e.g.: auditors) outside the immediate staff will know that it has been done;

2. The Plan Design is described by using performance objectives detailing:
 - a) who is to do something;
 - b) what is to be done;
 - c) the expected proficiency level;
 - d) the timeframe;
 - e) the method of measurement to be used to determine if the proficiency level has been met.

NOTE: It is not required for Phase III plans to be written in both process and performance objectives. However, Phase III plans must be written in process objectives, or performance objectives, or process and performance objectives.

3. The plan design describes in complete detail the additional instructional activities, instructional work assignments, specialized training, or programs to be completed and developed.
4. The plan design describes how the amount of additional salary is determined for participants.
5. The plan design describes the timelines, including whether these activities are to be conducted during the regular school day or during an extended school day, week, or year.
6. Staff Development: A plan design which provides for specialized training, summer staff development programs, and staff development programs to be presented during the school year:
 - a) describes how these efforts are integrated into the district staff development plan required in the school standards;
 - b) provides a copy of the three-year staff development plan with the one-year budget;
 - c) includes provisions for theory, demonstration, practice, peer coaching, and feedback.
7. A plan design which provides for individual teacher projects:
 - a) describes the process by which teachers receive approval to implement their proposals;
 - b) identifies who reviews the proposals for implementation approval;
 - c) describes the criteria used to approve proposals for implementation;
 - d) specifies how the projects are directly connected to the district-wide initiatives at meeting student achievement goals established under section 280.18 identified in section 5.B;
 - e) describes the process by which teachers receive approval for payment upon completion of the project;
 - f) identifies who reviews the completed proposals and their accompanying documentation in order to approve payment; and
 - g) describes the criteria used to approve completed proposals for payment.

C. Comprehensive School Transformation Evaluation Criteria

1. The Plan Design is described by using process objectives detailing:
 - a) who is to do something;
 - b) what is to be done;
 - c) the timeframe;
 - d) how someone (e.g.: auditors) outside the immediate staff will know that it has been done;

2. The Plan Design is described by using performance objectives detailing:

- a) who is to do something;
- b) what is to be done;
- c) the expected proficiency level;
- d) the timeframe;
- e) the method of measurement to be used to determine if the proficiency level has been met.

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NOTE: It is not required for Phase III plans to be written in both process and performance objectives. However, Phase III plans must be written in process objectives, or performance objectives, or process and performance objectives.

3. Districts: The plan design describes how planned change(s) is/are designed to make the system remain relevant, and is an integral part of a comprehensive effort at meeting 280.18 goals and instructional 280.12 goals.
4. When a Plan Design is for implementing site-based shared decision making, the description shall include, but is not limited to, the following:
- a) the local board has defined the authority and types of accountability for decisions to be made at the building level;
 - b) a copy of the board's decision is included with the application;
 - c) the decisions made focus on the attainment of student achievement goals under sections 280.12 and 280.18;
 - d) the building-level staff are responsible for developing and implementing the strategies to fulfill the building-level goals, for monitoring progress, and for evaluation of activities;
 - e) participants in the site-based shared decision making process include both teachers and site administrators.
5. When a Plan Design is for implementing building-based goal-oriented compensation mechanism, the description shall include, but is not limited to, the following:
- a) the building goal focuses on the improvement of student achievement goals under sections 280.12 and 280.18;
 - b) participants in the goal development include both teachers and site administrators;
 - c) the building-based goal plan includes a provision to identify the goal, the target audience, the specific strategies to be used, the timeline, the criteria by which the goal attainment is measured, the methods used to measure goal attainment, and the level of achievement which would indicate goal attainment;
 - d) the receipt of additional salary by participating teachers is contingent upon the degree to which the building-based goal is achieved.

NOTE: One difference between site-based shared decision making and a building-based goal-oriented compensation mechanism is the basis for providing salary. In site-based shared decision making, salary is provided for the completion of activities. In a building-based goal-oriented compensation mechanism, salary is provided only if the goal is achieved.

6. When a Plan Design is for implementing an innovative educational program, the description shall include, but is not limited to, the following:
- a) evidence that the program's goals focus on the attainment of student achievement goals under sections 280.12 and 280.18;
 - b) evidence that the program is innovative;
 - c) evidence that the program shall enhance teaching and learning;
 - d) evidence that the program has follow-up and evaluation to ensure the program shall become an integral part of district efforts.
7. When a Plan Design is for focusing on student outcomes, the description shall include, but is not limited to, the following:
- a) student outcomes shall be developed on the basis of current research and development knowledge, as well as current and future needs of students;

- b) student outcomes shall focus on the attainment of student achievement goals under sections 280.12 and 280.18;
- c) multi-dimensional assessment methods shall be developed in alignment with the outcomes;
- d) alternative teaching strategies shall be developed in order to help students reach the outcomes. 113

8. When a Plan Design is for directing accountability for student achievement, the description shall include, but is not limited to, the following:
 - a) multi-dimensional student assessment measures for the system shall be developed in alignment with the student achievement goals under sections 280.12 and 280.18;
 - b) participating teachers shall work collaboratively to monitor, assess, and report student achievement;
 - c) teachers shall participate in redesigning the environment and learning strategies to assure student success.
9. When a Plan Design is for directing accountability for organizational success, the description shall include, but is not limited to, the following:
 - a) multi-dimensional forms of program assessment shall be developed in alignment with student achievement goals under sections 280.12 and 280.18 and shall be conducted;
 - b) provision shall be made for an ongoing internal renewal process;
 - c) the roles of teachers shall be expanded to assure they are active participants in school transformation efforts.
10. When a Plan Design is for working to foster relationships between a school and businesses or public agencies which provide health and social services, the description shall include, but is not limited to, the following:
 - a) the classroom shall be expanded into the community/business; and
 - b) the businesses or public agencies shall be integrated into the school to provide learning opportunities and/or provide needed services to students and their families.
11. AEA's: The Plan Design describes in detail the plan to integrate with and support the Phase III comprehensive school transformation plans submitted by the school districts within the area education agency. The description shows how the planned integration and support is real, fundamental, is based on the needs at the school sites, is assisting the school systems to remain relevant, and is consistent with emerging philosophies on school transformation. The description shows how the activities will focus on the attainment of the districts' student achievement goals established under sections 280.12 and 280.18.
12. The plan design describes how the amount of additional salary is determined for participants.
13. The plan design describes the timelines, including whether these activities are to be conducted during the regular school day or during an extended school day, week, or year.

7. Section 7, the Plan Evaluation:

- A. identifies by title the person(s) responsible for analyzing the evaluation data embedded in the process and performance objectives;
- B. identifies by title the person(s) responsible for evaluating the overall impact of the plan;
- C. identifies valid evaluation methods to be used in measuring the impact of each objective, each component, and the overall plan;
- D. identifies by title the person(s) and group(s) at the local level to receive the evaluation report;
- E. identifies the timeline for the presentation of the evaluation report to those identified in 7.D.

CHAPTER 294A

EDUCATIONAL EXCELLENCE PROGRAM — TEACHERS

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DIVISION I EDUCATIONAL EXCELLENCE PROGRAM

294A.1 Educational excellence program.

The purpose of this chapter is to promote excellence in education. In order to maintain and advance the educational excellence in the state of Iowa, this chapter establishes the Iowa educational excellence program. The program shall consist of three major phases addressing the following:

1. Phase I — The recruitment of quality teachers.
2. Phase II — The retention of quality teachers.
3. Phase III — The enhancement of the quality and effectiveness of teachers through the utilization of performance pay.

87 Acts, ch 224, § 1

294A.2 Definitions.

For the purposes of this chapter:

1. "Certified enrollment in a school district" for the school years beginning July 1, 1987, July 1, 1988, and July 1, 1989, means that district's basic enrollment for the budget year beginning July 1, 1987, as defined in section 442.4, Code 1989. For each school year thereafter, certified enrollment in a school district means that district's basic enrollment for the budget year as defined in section 442.4, Code 1989, or section 257.2.

2. "Enrollment served" for the fiscal years beginning July 1, 1987, July 1, 1988, and July 1, 1989, means that area education agency's enrollment served for the budget year beginning July 1, 1987. For each school year thereafter, enrollment served means that area education agency's enrollment served for the budget year. Enrollment served shall be determined under section 257.37.*

3. "General training requirements" means requirements prescribed by a board of directors that provide for the acquisition of additional semester

hours of graduate credit from an institution of higher education approved by the state board of education or the completion of staff development activities licensed by the board of educational examiners, except for programs developed by practitioner preparation institutions and area education agencies, for renewal of licenses issued under chapter 260.

4. "*Specialized training requirements*" means requirements prescribed by a board of directors to meet specific needs of the school district identified by the board of directors that provide for the acquisition of clearly defined skills through formal or informal education that are beyond the requirements necessary for initial licensing under chapter 260.

5. "*Teacher*" means an individual holding a practitioner's license issued under chapter 272, issued by the board of educational examiners, who is employed in a nonadministrative position by a school district or area education agency pursuant to a contract issued by a board of directors under section 279.13. A teacher may be employed in both an administrative and a nonadministrative position by a board of directors and shall be considered a part-time teacher for the portion of time that the teacher is employed in a nonadministrative position.

Effective July 1, 1988, "*teacher*" includes a licensed individual employed on less than a full-time basis by a school district through a contract between the school district and an institution of higher education with a practitioner preparation program in which the licensed teacher is enrolled in any practitioner preparation program.

6. "*Teacher's regular compensation*" means the annual salary specified in a teacher's contract pursuant to the salary schedule adopted by the board of directors or negotiated under chapter 20. It does not include pay earned by a teacher for performance of additional noninstructional duties and does not include the costs of the employer's share of fringe benefits.

87 Acts, ch 224, §2; 88 Acts, ch 1266, §6; 89 Acts, ch 135, §96; 89 Acts, ch 265, §38; 90 Acts, ch 1249, §17, 18

*Section 257.37 was vetoed by the governor; 89 Acts, ch 135, §37

294A.3 Educational excellence fund.

An educational excellence fund is established in the office of treasurer of state to be administered by the department of education. Moneys appropriated by the general assembly for deposit in the fund shall be paid to school districts and area education agencies pursuant to the requirements of this chapter and shall be expended only to pay for increases in the regular compensation of teachers and other salary increases for teachers, to pay the costs of the employer's share of federal social security and Iowa public employees' retirement system, or a pension and annuity retirement system established under chapter 294, payments on the salary increases, and to pay costs associated with providing specialized or general training. Moneys received by school districts and area education agencies shall not be used for pay

earned by a teacher for performance of additional noninstructional duties.

If moneys are appropriated by the general assembly to the fund for distribution under this chapter the moneys shall be allocated by the department so that the allocations of moneys for phases I and II are made prior to the allocation of moneys for phase III.

87 Acts, ch 224, §3

DIVISION II

PHASE I

294A.4 Goal.

The goal of phase I is to provide for establishment of pay plans incorporating sufficient annual compensation to attract quality teachers to Iowa's public school system. This is accomplished by increasing the minimum salary. A beginning salary which is competitive with salaries paid to other professionals will provide incentive for top quality individuals to enter the teaching profession.

87 Acts, ch 224, §4

294A.5 Minimum salary supplement.

For the school year beginning July 1, 1987 and succeeding school years, the minimum annual salary paid to a full-time teacher as regular compensation shall be eighteen thousand dollars.

For the school year beginning July 1, 1987 for phase I, each school district and area education agency shall certify to the department of education by the third Friday in September the names of all teachers employed by the district or area education agency whose regular compensation is less than eighteen thousand dollars per year for that year and the amounts needed as minimum salary supplements. The minimum salary supplement for each eligible teacher is the total of the difference between eighteen thousand dollars and the teacher's regular compensation plus the amount required to pay the employer's share of the federal social security and Iowa public employees' retirement system, or a pension and annuity retirement system established under chapter 294, payments on the additional salary moneys.

The board of directors shall report the salaries of teachers employed on less than a full-time equivalent basis, and the amount of minimum salary supplement shall be prorated.

87 Acts, ch 224, §5

294A.6 Payments.

For the school year beginning July 1, 1987, the department of education shall notify the department of revenue and finance of the total minimum salary supplement to be paid to each school district and area education agency under phase I and the department of revenue and finance shall make the payments. For school years after the school year beginning July 1, 1987, if a school district or area education agency reduces the number of its full-time

equivalent teachers below the number employed during the school year beginning July 1, 1987, the department of revenue and finance shall reduce the total minimum salary supplement payable to that school district or area education agency so that the amount paid is equal to the ratio of the number of full-time equivalent teachers employed in the school district or area education agency for that school year divided by the number of full-time equivalent teachers employed in the school district or area education agency for the school year beginning July 1, 1987 and multiplying that fraction by the total minimum salary supplement paid to that school district or area education agency for the school year beginning July 1, 1987.

If the moneys allocated for phase I for a school year exceed the moneys required to pay the total minimum salary supplements to all school districts and area education agencies, the board of directors of a school district that has employed one or more additional teachers as a result of a whole grade sharing agreement completed under section 282.7 may request approval from the department of education for additional funding for its minimum salary supplement for that school year and succeeding school years if the other school district or districts that are parties to the sharing agreement have correspondingly reduced their number of teachers. If the department of education approves the payment of the additional salary supplement to a district, the department shall certify to the department of revenue and finance that the additional payment be made. The payment shall be equal to the amount of the difference between eighteen thousand dollars and the teacher's regular compensation, plus the amount required to make the payments on the additional salary moneys for the employer's share of the federal social security and Iowa public employees' retirement system, or a pension and annuity retirement system established under chapter 294. If the phase I moneys remaining are insufficient to pay the entire amount approved by the department of education, the department of revenue and finance shall prorate the payments to school districts.

87 Acts, ch 224, §6; 89 Acts, ch 5, §1

294A.7 Reserved.

DIVISION III

PHASE II

294A.8 Goal.

The goal of phase II is to keep Iowa's best educators in the profession and assist in their development by providing general salary increases.

87 Acts, ch 224, §7

294A.9 Phase II program.

Phase II is established to improve the salaries of teachers. For each fiscal year beginning on or after July 1, 1992, the per pupil amount upon which the

phase II moneys are based is equal to the per pupil allocation plus supplemental allocations for the immediately preceding fiscal year.

The department of education shall certify the amounts of the allocations for each school district and area education agency to the department of revenue and finance and the department of revenue and finance shall make the payments to school districts and area education agencies.

If a school district has discontinued grades under section 282.7, subsection 1, or students attend school in another school district, under an agreement with the board of the other school district, the board of directors of the district of residence either shall transmit the phase II moneys allocated to the district for those students based upon the full-time equivalent attendance of those students to the board of the school district of attendance of the students or shall transmit to the board of the school district of attendance of the students a portion of the phase II moneys allocated to the district of residence based upon an agreement between the board of the resident district and the board of the district of attendance.

If a school district uses teachers under a contract between the district and the area education agency in which the district is located, the school district shall transmit to the employing area education agency a portion of its phase II allocation based upon the portion that the salaries of teachers employed by the area education agency and assigned to the school district for a school year bears to the total teacher salaries paid in the district for that school year, including the salaries of the teachers employed by the area education agency.

If the school district or area education agency is organized under chapter 20 for collective bargaining purposes, the board of directors and certified bargaining representative for the licensed employees shall mutually agree upon a formula for distributing the phase II allocation among the teachers. For the school year beginning July 1, 1987 only, the parties shall follow the procedures specified in chapter 20 except that if the parties reach an impasse, neither impasse procedures agreed to by the parties nor sections 20.20 through 20.22 shall apply and the phase II allocation shall be divided as provided in section 294A.10. Negotiations under this section are subject to the scope of negotiations specified in section 20.9. If a board of directors and certified bargaining representative for licensed employees have not reached mutual agreement by July 15, 1987 for the distribution of the phase II payment, section 294A.10 will apply.

If the school district or area education agency is not organized for collective bargaining purposes, the board of directors shall determine the method of distribution.

87 Acts, ch 224, §8; 89 Acts, ch 265, §40; 89 Acts, ch 135, §97; 92 Acts, ch 1135, §6; 92 Acts, ch 1227, §23

Unnumbered paragraphs 1 and 3 amended

294A.10 Failure to agree on distribution.

For the school year beginning July 1, 1987 only, if the board of directors and certified bargaining representative for the licensed employees have not reached agreement under section 294A.9, the board of directors shall divide the payment among the teachers employed by the district or area education agency as follows:

1. All full-time teachers whose regular compensation is equal to or more than the minimum salary for phase I will receive an equal amount from the phase II allocation.

2. A teacher who will receive a minimum salary supplement under section 294A.5 will receive moneys equal to the difference between the amount from the phase II allocation and the minimum salary supplement paid to that teacher.

3. The amount from the phase II allocation will be prorated for a teacher employed on less than a full-time basis.

4. An amount from the phase II allocation includes the amount required to pay the employers' share of the federal social security and Iowa public employees' retirement system, or a pension and annuity retirement system established under chapter 294, payments on the additional salary.

87 Acts, ch 224, §9; 89 Acts, ch 265, §40

294A.11 Reports. Repealed effective July 1, 1991, by 89 Acts, ch 135, §136.

DIVISION IV

PHASE III

294A.12 Goal.

The goal of phase III is to enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence. This will be accomplished through the development of performance-based pay plans and supplemental pay plans requiring additional instructional work assignments which may include specialized training or differential training, or both.

It is the intent of the general assembly that school districts and area education agencies incorporate into their planning for performance-based pay plans and supplemental pay plans, implementation of recommendations from recently issued national and state reports relating to the requirements of the educational system for meeting future educational needs, especially as they relate to the preparation, working conditions, and responsibilities of teachers, including but not limited to assistance to new teachers, development of teachers as instructional leaders in their schools and school districts, using teachers for evaluation and diagnosis of other teachers' techniques, and the implementation of sabbatical leaves. It is further the intent of the general assembly that real and fundamental change in the educational system must emerge from the school site if the education system is to remain relevant and that plans

funded in this program must be an integral part of a comprehensive school district or area education agency effort toward meeting identified district or agency goals or needs.

87 Acts, ch 224, §11; 90 Acts, ch 1141, §1

294A.13 Phase III program.

For the school year beginning July 1, 1987 and succeeding school years, each school district and area education agency that meets the requirements of this section is eligible to receive moneys for the implementation under phase III of a performance-based pay plan or supplemental pay plan, or a combination of the two.

87 Acts, ch 224, §12

294A.14 Phase III payments.

For each fiscal year, the department shall allocate the remainder of the moneys appropriated by the general assembly to the fund for phase III, subject to section 294A.18. If fifty million dollars is allocated for phase III, the payments for an approved plan for a school district shall be equal to the product of a district's certified enrollment and ninety-eight dollars and sixty-three cents, and for an area education agency shall be equal to the product of an area education agency's enrollment served and four dollars and sixty cents. If the moneys allocated for phase III are either greater than or less than fifty million dollars, the department of education shall adjust the amount for each student in certified enrollment and each student in enrollment served based upon the amount allocated for phase III.

If a school district has discontinued grades under section 282.7, subsection 1, or students attend school in another school district, under an agreement with the board of the other school district, the board of directors of the district of residence either shall transmit the phase III moneys allocated to the district for those students based upon the full-time equivalent attendance of those students to the board of the school district of attendance of the students or shall transmit to the board of the school district of attendance of the students a portion of the phase III moneys allocated to the district of residence based upon an agreement between the board of the resident district and the board of the district of attendance.

A plan shall be developed using the procedure specified under section 294A.15. The plan shall provide for the establishment of a performance-based pay plan, a supplemental pay plan, a combination of the two pay plans, or comprehensive school transformation programs, and shall include a budget for the cost of implementing the plan. In addition to the costs of providing additional salary for teachers and the amount required to pay the employers' share of the federal social security and Iowa public employees' retirement system, or a pension and annuity retirement system established under chapter 294, and payments on the additional salary, the budget may include costs associated with providing specialized or general training. Moneys received under phase III

shall not be used to employ additional employees of a school district, except that phase III moneys may be used to employ substitute teachers, part-time teachers, and other employees needed to implement plans that provide innovative staffing patterns or that require that a teacher employed on a full-time basis be absent from the classroom for specified periods for fulfilling other instructional duties. However, all teachers employed are eligible to receive additional salary under an approved plan.

For the purpose of this section, a performance-based pay plan shall provide for salary increases for teachers who demonstrate superior performance in completing assigned duties. The plan shall include the method used to determine superior performance of a teacher. For school districts, the plan may include assessments of specific teaching behavior, assessments of student performance, assessments of other characteristics associated with effective teaching, or a combination of these criteria.

For school districts, a performance-based pay plan may provide for additional salary for individual teachers, for teachers assigned to a specific discipline, or for all teachers assigned to an attendance center. For area education agencies, a performance-based pay plan may provide for additional salary for individual teachers, for additional salary for all teachers assigned to a specific discipline within an area education agency, or for additional salary for individual teachers assigned to a multidisciplinary team within an area education agency. If the plan provides additional salary for all teachers assigned to an attendance center, specific discipline, or multidisciplinary team, the receipt of additional salary by those teachers shall be determined on the basis of whether that attendance center, specific discipline, or multidisciplinary team meets specific objectives adopted for that attendance center, specific discipline, or multidisciplinary team. For school districts, the objectives may include, but are not limited to, decreasing the dropout rate, increasing the attendance rate, or accelerating the achievement growth of students enrolled in that attendance center.

If a performance-based pay plan provides additional salary for individual teachers:

1. The plan may provide for salary moneys in addition to the existing salary schedule of the school district or area education agency and may require the participation by the teacher in specialized training requirements.
2. The plan may provide for salary moneys by replacing the existing salary schedule or as an option to the existing salary schedule and may include specialized training requirements, general training requirements, and experience requirements.

A supplemental pay plan may provide for supplementing the costs of vocational agriculture programs as provided in section 294A.17.

For the purpose of this section, a supplemental pay plan in a school district shall provide for the payment of additional salary to teachers who participate in either additional instructional work assignments

or specialized training during the regular school day or during an extended school day, school week, or school year. A supplemental pay plan in an area education agency shall provide for the payment of additional salary to teachers who participate in either additional work assignments or improvement of instruction activities with school districts during the regular school day or during an extended school day, school week, or school year.

For school districts, additional instructional work assignments may include but are not limited to general curriculum planning and development, vertical articulation of curriculum, horizontal curriculum coordination, development of educational measurement practices for the school district, attendance at workshops and other programs for service as cooperating teachers for student teachers, development of plans for assisting beginning teachers during their first year of teaching, attendance at summer staff development programs, development of staff development programs for other teachers to be presented during the school year, and other plans locally determined in the manner specified in section 294A.15 and approved by the department of education under section 294A.16 that are of equal importance or more appropriately meet the educational needs of the school district.

For area education agencies, additional instructional work assignments may include but are not limited to providing assistance and support to school districts in general curriculum planning and development, providing assistance to school districts in vertical articulation of curriculum and horizontal curriculum coordination, development of educational measurement practices for school districts in the area education agency, development of plans for assisting beginning teachers during their first year of teaching, attendance or instruction at summer staff development programs, development of staff development programs for school district teachers to be presented during the school year, and other plans determined in the manner specified in section 294A.15 and approved by the department of education under section 294A.16 that are of equal importance or more appropriately meet the educational needs of the area education agency.

Any summer school program, for which the teacher's salary is paid or supplemented under a supplemental pay plan, shall be open to nonpublic school students in the manner provided in section 256.12.

For purposes of this section, "comprehensive school transformation" means activities which focus on the improvement of student achievement and the attainment of student achievement goals under sections 280.12 and 280.18. A comprehensive school transformation plan submitted by a school district shall demonstrate the manner in which the components of the plan are integrated with a school's student achievement goals. Components of the plan may include, but are not limited to, providing salary increases to teachers who implement site-based shared decision making, building-based goal-

oriented compensation mechanism, or approved innovative educational programs; who focus on student outcomes; who direct accountability for student achievement or accountability for organizational success; and who work to foster relationships between a school and businesses or public agencies which provide health and social services.

87 Acts, ch 224, §13; 88 Acts, ch 1266, §7; 88 Acts, ch 1284, §49; 89 Acts, ch 5, §2; 89 Acts, ch 135, §98; 90 Acts, ch 1141, §2, 3; 92 Acts, ch 1135, §7; 92 Acts, ch 1158, §6; 92 Acts, ch 1227, §24, 25

See Code editor's note to §7E.5 at the end of Vol IV
Unnumbered paragraph 2 stricken
Unnumbered paragraph 3 amended
Unnumbered paragraph 13 stricken and rewritten

294A.15 Development of plan.

The board of directors of a school district desiring to receive moneys under phase III shall appoint a committee consisting of representatives of school administrators, teachers, parents, and other individuals interested in the public schools of the school district to develop a proposal for distribution of phase III moneys to be submitted to the board of directors. The board of directors of an area education agency desiring to receive moneys under phase III shall appoint a committee of similar membership to develop a proposal. If the school district or area education agency is organized under chapter 20 for collective bargaining purposes, the board shall provide that one of the teacher members of the committee is an individual selected by the certified bargaining representative for licensed employees of the district or area education agency. The proposal developed by the committee shall be submitted to the board of directors of the school district or area education agency for consideration by the board in developing a plan. For the school year beginning July 1, 1987, if the school district or area education agency is organized for collective bargaining purposes under chapter 20, the portions of the proposed plan that are within the scope of negotiations specified in section 20.9 require the mutual agreement by January 1, 1988 of both the board of directors of the school district or area education agency and the certified bargaining representative for the licensed employees. In succeeding years, if the school district or area education agency is organized for collective bargaining purposes, the portions of the proposed plan that are within the scope of the negotiations specified in section 20.9 are subject to chapter 20.

Effective July 1, 1989, a plan adopted by the board of directors of a school district or area education agency may include as a part of the plan a proposal that expands a performance-based pay plan or a supplemental pay plan, or a combination of the two pay plans, that meets the criteria listed in section 294A.14 and was in effect in the school district or area education agency prior to July 1, 1987. The budget for the plan submitted to the department of education shall include both the general fund moneys, which must be equal to those used prior to July 1,

1987, and the phase III moneys which expand the activity, and is for programs that would meet the criteria listed in section 294A.14.

Nothing in this chapter shall be construed to expand or restrict the scope of negotiations in section 20.9.

87 Acts, ch 224, §14; 89 Acts, ch 5, §3; 89 Acts, ch 265, §40

294A.16 Plan — moneys.

A plan adopted by the board of directors of a school district or area education agency shall be submitted to the department of education not later than April 15 of a school year for that school year for a school district, and not later than June 15 of a school year for that school year for an area education agency. Amendments to multiple year plans may be submitted annually.

If a school district uses teachers under a contract between the district and the area education agency in which the district is located and both the school district and the area education agency have approved phase III plans, the school district shall transmit to the employing area education agency a portion of its phase III moneys based upon the portion that the salaries of teachers employed by the area education agency and assigned to the school district for the school year bears to the total teacher salaries paid in the district for that school year, including the salaries of the teachers employed by the area education agency. If the area education agency has an approved phase III plan and the school district does not, the department of management shall transmit phase III moneys to the area education agency for those teachers from the phase III money that would have been paid to the school district if the school district had had an approved phase III plan using the formula that would have been used if the school district had had an approved phase III plan.

The department of education shall review each plan and its budget and notify the department of management of the names of school districts and area education agencies with approved plans. In considering the approval of a plan submitted by a school district, the department shall give emphasis to plans which include a comprehensive school transformation plan or which include a component which is part of a statewide systemic school transformation initiative. In considering the approval of a plan submitted by an area education agency, the department shall give emphasis to plans which are integrated with and supportive of the comprehensive school transformation plans submitted by the school districts within the area education agency.

A school district or area education agency, which receives money for a school year for an approved phase III plan, may retain up to fifty percent of the moneys allocated to the district or area education agency for the next succeeding school year, in order to continue the approved plan. Any of the retained phase III moneys remaining in the district or area education agency account after the second year of

the plan shall revert to the general fund of the state as provided in section 8.33.

Any moneys allocated or retained for an approved phase III plan, and any interest accrued on the moneys, shall not be commingled with state aid payments made, under sections 257.16 and 257.35, to a school district or area education agency and shall be accounted for by the school district or area education agency separately from state aid payment accounts.

87 Acts, ch 224, §15; 89 Acts, ch 5, §4-6; 90 Acts, ch 1141, §4; 92 Acts, ch 1135, §8; 92 Acts, ch 1163, §67; 92 Acts, ch 1227, §26

Unnumbered paragraphs 1, 3, and 5 amended

294A.17 Vocational agriculture.

A supplemental pay plan that provides for supplementing the costs of vocational agriculture programs may provide for increasing teacher salary costs for twelve month contracts for vocational agriculture teachers.

87 Acts, ch 224, §16

See also §280.20

294A.18 Determination of phase III allocation.

On February 1, 1988, the governor shall certify to the department of education the amount of money available for allocation under phase III. If pursuant to any provision of law, the governor certifies an amount lower than the allocation that would otherwise be made under this chapter, the department of education shall, if necessary, adjust the amount for each student in certified enrollment and each student in enrollment served which are included in approved plans pursuant to section 294A.14 and shall review the budgets of the approved plans.

87 Acts, ch 224, §17

294A.19 Reports — limit on charging.

Each school district and area education agency receiving moneys for phase III during a school year shall file a report with the department of education. School district reports shall be filed by July 1 of the next following school year, and area education agency reports shall be filed by September 1 of the next following school year. The report shall describe the plan, its objectives, its implementation, the expenditures made under the plan including the salary increases paid to each eligible employee, and the extent to which its objectives were attained. The report may include any proposed amendments to the plan for the next following school year.

Annually, the department shall summarize the information contained in the reports filed by the school districts and area education agencies. The reports shall be available upon request.

School districts and area education agencies shall not charge other school districts or area education agencies for plans or information about innovative phase III plans that they have developed.

87 Acts, ch 224, §18; 89 Acts, ch 5, §7; 89 Acts, ch 1163, §67

294A.20 Reversion of moneys.

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Any portion of moneys appropriated to the educational excellence trust fund and allocated to phase III under section 294A.3 for a fiscal year not expended by school districts and area education agencies during that fiscal year reverts to the general fund of the state as provided in section 8.33.

87 Acts, ch 224, §19

Exception: see §294A.16

DIVISION V

GENERAL PROVISIONS

294A.21 Rules.

The state board of education shall adopt rules under chapter 17A for the administration of this chapter.

87 Acts, ch 224, §20

294A.22 Payments.

Payments for each phase of the educational excellence program shall be made by the department of revenue and finance on a monthly basis commencing on October 15 and ending on June 15 of each fiscal year, taking into consideration the relative budget and cash position of the state resources. The payments shall be separate from state aid payments made pursuant to sections 257.16 and 257.35. The payments made under this section to a school district or area education agency may be combined and a separate accounting of the amount paid for each program shall be included.

Any payments made to school districts or area education agencies under this chapter are miscellaneous income for purposes of chapter 257.

Payments made to a teacher by a school district or area education agency under this chapter are wages for the purposes of chapter 91A except for payments made under an approved phase III plan where a modified payment plan has either been mutually agreed upon by the board of directors and the certified bargaining representative for certificated employees or for a district that is not organized for collective bargaining purposes where a modified payment plan is adopted by the board.

87 Acts, ch 224, §21; 89 Acts, ch 5, §8, 9; 89 Acts, ch 135, §100

294A.23 Multiple salary payments.

The salary increases that may be granted to a teacher under phase III are in addition to any salary increases granted to a teacher under phase I or phase II.

87 Acts, ch 224, §22

294A.24 Collective bargaining. Repealed effective July 1, 1991, by 89 Acts, ch 135, §136.

294A.25 Appropriation.

1. For the fiscal year beginning July 1, 1990, there is appropriated from the general fund of the

state to the department of education the amount of ninety-two million one hundred thousand eighty-five dollars to be used to improve teacher salaries. For each fiscal year in the fiscal period commencing July 1, 1991, and ending June 30, 1993, there is appropriated an amount equal to the amount appropriated for the fiscal year beginning July 1, 1990, plus an amount sufficient to pay the costs of the additional funding provided for school districts and area education agencies under sections 294A.9 and 294A.14. For each fiscal year beginning on or after July 1, 1993, there is appropriated the sum which was appropriated for the fiscal year commencing July 1, 1992, including supplemental payments. The moneys shall be distributed as provided in this section.

2. The amount of one hundred fifteen thousand five hundred dollars to be paid to the department of human services for distribution to its licensed classroom teachers at institutions under the control of the department of human services for payments for phase II based upon the average student yearly enrollment at each institution as determined by the department of human services.

3. The amount of ninety-four thousand six hundred dollars to be paid to the state board of regents for distribution to licensed classroom teachers at the Iowa braille and sight saving school and the Iowa school for the deaf for payments of minimum salary supplements for phase I and payments for phase II based upon the average yearly enrollment at each school as determined by the state board of regents.

4. Commencing with the fiscal year beginning July 1, 1988, the amount of one hundred thousand dollars to be paid to the department of education for

distribution to the tribal council of the Sac and Fox Indian settlement located on land held in trust by the secretary of the interior of the United States. Moneys allocated under this subsection shall be used for the purposes specified in section 256.30.

5. Commencing with the fiscal year beginning July 1, 1990, the amount of sixty thousand dollars for the ambassador to education program under section 256.43.

5A. Commencing with the fiscal year beginning July 1, 1992, the amount of three hundred thirty-five thousand dollars from phase III moneys for the support of school transformation pilot projects administered by the department of education. Funds appropriated in this subsection may be used for projects by nonprofit corporations representing a coalition of organizations interested in school improvement in Iowa.

6. For the fiscal year beginning July 1, 1990, and succeeding fiscal years, the remainder of moneys appropriated in subsection 1 to the department of education shall be deposited in the educational excellence fund to be allocated in an amount to meet the minimum salary requirements of this chapter for phase I, in an amount to meet the requirements for phase II, and the remainder of the appropriation for phase III.

87 Acts, ch 233, §491; 88 Acts, ch 1284, §50; 89 Acts, ch 135, §101, 102; 89 Acts, ch 265, §40; 90 Acts, ch 1272, §73; 92 Acts, ch 1227, §27; 92 Acts, ch 1246, §49

Subsection 1 amended
NEW subsection 5A
Item veto applied
Exceptions and additional appropriations; 92 Acts, ch 1246, §4, 19; 92 Acts, 2nd Ex, ch 1001, §503

20.18(11) Any exceptions to these rules must be specifically approved by the warden/superintendent or designee.

This rule is intended to implement Iowa Code section 904.207.

[Filed 2/26/93, effective 4/21/93]
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EDITOR'S NOTE: For replacement pages for IAC, see IAC Supplement 3/17/93.

ARC 3826A

EDUCATION DEPARTMENT[281]

Adopted and Filed

Pursuant to the authority of Iowa Code sections 256.7(5) and 294A.21, the State Board of Education hereby rescinds Chapter 91, "Phase III, Educational Excellence Program," and adopts a new Chapter 91, "Phase III, Educational Excellence Program," Iowa Administrative Code.

Notice of Intended Action was published in the Iowa Administrative Bulletin on January 6, 1993, as ARC 3671A. A public hearing was held on January 26, 1993. The State Board of Education adopted these rules on February 11, 1993.

These rules give guidance to boards of directors of school districts and area education agencies submitting applications for Phase III funding and implementing approved Phase III applications.

These rules are identical to those published as Notice of Intended Action, with the following two exceptions. To eliminate redundancy, 91.5(2)"a"(4)"2" is amended to read as follows: "Student outcomes shall focus on the attainment of student achievement goals under Iowa Code sections 280.12 and 280.18." To eliminate the double negative in 91.5(2)"c," the last paragraph is revised to read as follows: "If a supplemental pay plan provides for individual teacher projects, the projects shall be directly connected with a districtwide initiative at meeting identified student achievement goals established under Iowa Code section 280.18."

These rules will become effective April 21, 1993.

These rules are intended to implement Iowa Code sections 294A.12 to 294A.20.

The following new chapter is adopted.

Rescind 281—Chapter 91 and insert in lieu thereof the following:

CHAPTER 91

PHASE III, EDUCATIONAL EXCELLENCE PROGRAM

281—91.1(294A) Scope. These rules apply to the provisions of phase III of the educational excellence program authorized by Iowa Code chapter 294A.

281—91.2(294A) General purpose. The goal of phase III is to enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence and

comprehensive school transformation. This shall be accomplished through the development of performance-based pay plans, comprehensive school transformation pay plans and supplemental pay plans for additional instructional work assignments, which assignments may include specialized training or differential training, or both.

It is the stated intent of the law and this chapter that comprehensive school transformation pay plan activities shall focus on the improvement of student achievement and the attainment of student achievement goals under Iowa Code sections 280.12 and 280.18.

Further, it is the intent of phase III that real and fundamental change in the educational system must emerge from the school site if the education system is to remain relevant and that plans funded in this program must demonstrate that they are an integral part of a comprehensive district or area education agency effort at meeting identified district or agency goals or needs.

It is the intent of this chapter that no plan submitted shall propose or include pay plans which supplant existing programs or expenditures whether operated on a regular or voluntary basis.

Further, it is the intent of this chapter that phase III moneys received by school districts and area education agencies shall not be used to pay a teacher for performance of additional noninstructional duties or for supervising students.

281—91.3(294A) Definitions. For the purposes of this chapter, the following definitions apply:

"Administrator" refers to a person or persons employed within the district or AEA, who holds the evaluator approval as required by Iowa Code section 272.33 and is employed for a portion of the time as an administrator within the district or AEA.

"AEA" refers to area education agency.

"Board" refers to the board of directors of a local education agency and an area education agency.

"Department" refers to the Iowa department of education.

"District" refers to a local school district.

"Performance-based pay" refers to salary increases for individual teachers who demonstrate superior performance in completing assigned duties; or for groups of teachers who demonstrate that specific approved objectives adopted for that group have been met.

"Performance objective" refers to the statement of action to be taken that identifies the person responsible, what is to be done, the time factors, the proficiency level to be achieved, and the method of measurement to be used to determine if the identified proficiency level has been achieved. (Phase III Program Evaluation Sourcebook, August 1989)

"Plan" refers to the phase III plan submitted by the board to the department for approval which shall demonstrate that it is an integral part of a comprehensive district or AEA effort toward meeting identified district or AEA goals or needs.

"Process objective" refers to the statement of action to be taken that identifies the person responsible, what is to be done, the time factors, and the documentation that will be created to prove that the activity has been completed within the time frame specified. (Phase III Program Evaluation Sourcebook, August 1989)

"Regular compensation" refers to the sum located on the established salary schedule for the experience and educational level at which a teacher falls exclusive of sup-

plemental pay for noninstructional duties and extended day or year contracts.

"Supplemental pay" refers to the payment of additional salary to teachers who participate in either additional instructional work assignments or specialized training during the regular school day or during an extended school day, school week, or school year.

281—91.4(294A) Development of plan.

91.4(1) Plan submission. On or before April 15 of each school year, school district boards of directors interested in receiving phase III funds shall submit a plan to the department for the coming school year. AEA boards of directors shall submit a plan to the department on or before June 15 for the coming school year. Plans submitted shall be on forms provided by the department in the format specified by the department.

In districts organized for collective bargaining purposes under Iowa Code chapter 20, the portions of the proposed plan that are within the scope of the negotiations specified in Iowa Code section 20.9 require the mutual agreement by April 15 for plans submitted to the department for approval for the coming year. In AEAs organized for collective bargaining purposes under Iowa Code chapter 20, the portions of the proposed plan that are within the scope of the negotiations specified in Iowa Code section 20.9 require the mutual agreement by June 15 for plans submitted to the department for approval for the coming year.

Compliance with this process shall be ensured in the plan application.

91.4(2) Joint plans. Plans may be submitted jointly by two or more boards (district/district, district/AEA) provided all compliances have been met. Districts which are whole-grade sharing are encouraged to submit a joint plan.

91.4(3) Multiple year plans. Districts and AEAs are encouraged to implement comprehensive strategic plans for meeting identified district and AEA needs and goals. However, phase III plan approval shall be on an annual basis. Districts and AEAs wishing to receive phase III funds for a given year must submit a plan to the department by the deadline in order to be considered for funding for the coming school year.

91.4(4) Amendments. Amendments to an approved plan may be submitted at any time during the plan year on forms provided by the department in the format specified by the department. Amendments to the plan must be approved by the department prior to implementation.

281—91.5(294A) Content of the plan. The following items shall constitute a plan which shall be submitted to the department on forms provided by the department.

91.5(1) Rationale and goals. The plan shall contain a rationale, which shall include the specific recommendations from national or state reports relating to the future of the education system which are to be implemented and the specific identified needs of students which are addressed by the plan. The goals of the district or AEA, as required by Iowa Code sections 280.12 and 280.18, which are pertinent to the plan shall be incorporated into the rationale.

91.5(2) Plan design. The plan design shall be described by using process and performance objectives, shall describe the methods used to determine the payment of salary increases to teachers, and shall describe the timeline for payment. (Phase III Program Evaluation Sourcebook, August 1989)

a. Comprehensive school transformation. The planned change shall be described. For districts, the planned change shall be real, fundamental, shall emerge from the school site, shall be designed to make the system remain relevant, shall be an integral part of a comprehensive effort at meeting identified needs or goals, shall be consistent with emerging philosophies on school restructuring and transformation, and shall focus on the improvement of student achievement and the attainment of student achievement goals established under Iowa Code sections 280.12 and 280.18. For AEAs, the planned change shall be real, fundamental, shall be based on needs at the school site, shall be designed to assist the school system to remain relevant, shall be an integral part of a comprehensive effort at meeting identified needs or goals, shall be consistent with emerging philosophies on school restructuring and transformation, and shall be integrated with and supportive of the comprehensive school transformation plans submitted by the school districts within the area education agency.

(1) Site-based shared decision making. A plan design for implementing site-based shared decision making shall include, but is not limited to, the following descriptors:

1. The local board has defined the authority and types of accountability for decisions to be made at the building level;

2. The decisions made focus on the improvement of student achievement and the attainment of student achievement goals under Iowa Code sections 280.12 and 280.18;

3. The building-level staff are responsible for developing and implementing the strategies to fulfill the building-level goals, for monitoring progress, and for evaluation of activities;

4. Participants in the site-based shared decision-making process include both teachers and site administrators.

(2) Building-based goal-oriented compensation mechanism. A plan design for implementing building-based goal-oriented compensation mechanisms shall include, but is not limited to, the following descriptors:

1. The building goal focuses on the improvement of student achievement and the attainment of student achievement goals under Iowa Code sections 280.12 and 280.18;

2. Participants in the goal development include both teachers and site administrators;

3. The building-based goal plan includes a provision to identify the goal, the target audience, the specific strategies to be used, the timeline, the criteria by which the goal attainment is measured, the methods used to measure goal attainment, and the level of achievement which would indicate goal attainment.

The receipt of additional salary by participating teachers in a building-based goal-oriented compensation mechanism is contingent upon the degree to which the building-based goal is achieved.

(3) Approved educational programs. A plan design for implementing approved educational programs shall include, but is not limited to, the following descriptors:

1. Evidence that the program's goals shall focus on the improvement of student achievement and the attainment of student achievement goals under Iowa Code sections 280.12 and 280.18;

2. Evidence that the program is innovative;

3. Evidence that the program shall enhance teaching and learning;

4. Evidence that the program has follow-up and evaluation to ensure the program shall become an integral part of district/AEA efforts.

(4) Student outcomes. A plan design for focusing on student outcomes shall include, but is not limited to, the following descriptors:

1. Student outcomes shall be developed on the basis of current research and development knowledge, as well as current and future needs of students;

2. Student outcomes shall focus on the attainment of student achievement goals under Iowa Code sections 280.12 and 280.18;

3. Multidimensional assessment methods shall be developed in alignment with the outcomes;

4. Alternative teaching strategies shall be developed in order to help students reach the outcomes.

(5) Student achievement. A plan design for directing accountability for student achievement shall include, but is not limited to, the following descriptors:

1. Multidimensional student assessment measures for the system shall be developed in alignment with the student achievement goals under Iowa Code sections 280.12 and 280.18;

2. Participating teachers shall work collaboratively to monitor, assess, and report student achievement;

3. Teachers shall participate in redesigning the environment and learning strategies to ensure student success.

(6) Organizational success. A plan design for directing accountability for organizational success shall include, but is not limited to, the following descriptors:

1. Multidimensional forms of program assessment shall be developed in alignment with student achievement goals under Iowa Code sections 280.12 and 280.18 and shall be conducted;

2. Provision shall be made for an ongoing internal renewal process;

3. The roles of teachers shall be expanded to ensure they are active participants in school transformation efforts.

(7) School/business partnerships. A plan design for working to foster relationships between a school and businesses or public agencies which provide health and social services shall include, but is not limited to, the following descriptors:

1. The classroom shall be expanded into the community/business;

2. The businesses or public agencies shall be integrated into the school to provide learning opportunities or provide needed services to students and their families.

b. Performance-based pay. The elements of the plan shall be described. For plans providing performance-based pay to individual teachers, describe the definition of demonstrated superior performance in completing assigned duties. Describe the methods to be used to determine the superior performance of a teacher in completing assigned duties. The methods shall include, but are not limited to, the observation of teacher or student performance by an administrator or a person holding the evaluator approval as required by Iowa Code section 272.33 and shall reflect the teacher's performance in completing assigned duties.

For performance-based pay plans which provide for a teacher to set individual performance targets, the performance target shall directly relate to the teacher's demonstrated superior performance in completing assigned duties.

Performance-based pay plans shall not provide for salary increases to teachers for completing additional duties,

provide for salary increases to teachers based on a teacher's attendance record, or provide for salary increases based on a teacher's organizational membership.

For plans providing performance-based pay to all teachers assigned to an attendance center, specific discipline, or multidisciplinary team, the specific performance objectives shall be identified and shall directly relate to the improvement of student achievement. The methods to be used to determine that the performance objectives have been met shall be described. These methods shall include, but are not limited to, the observation of teacher or student performance or data by an administrator or a person holding the evaluator approval as required by Iowa Code section 272.33. Payment shall be determined on the basis of whether the attendance center, specific discipline, or multidisciplinary team meets the specific performance objectives adopted for the attendance center, specific discipline, or multidisciplinary team.

c. Supplemental pay. The elements of the plan shall be described, including the additional activities, instructional work assignments, specialized training or programs to be completed or developed, and whether these activities are to be conducted during the regular school day or during an extended school day, week, or year.

For plans which provide specialized training, summer staff development program, or staff development program for other teachers to be presented during the school year, the plan shall describe how these efforts are integrated into the district staff development plan as required in 281—subrules 12.7(1) and 12.7(2). Plans for staff development shall include, but are not limited to, the following components: theory, demonstration, practice, peer coaching, and feedback.

If a supplemental pay plan provides for individual teacher projects, the projects shall be directly connected with a districtwide initiative at meeting identified student achievement goals established under Iowa Code section 280.18.

91.5(3) Evaluation. The evaluation data shall be embedded in the process and performance objectives. The persons responsible for evaluating the impact of the plan in meeting the identified goals or needs shall be identified. The evaluation procedures to be used in measuring the impact of each objective, each component and the plan as a whole shall be identified. The person, persons or groups at the local level to receive the evaluation report and the timeline for presentation shall be identified.

91.5(4) Budget. The budget shall include costs associated with implementing the plan, all costs associated with providing specialized or general training, and all indirect costs.

The budget shall detail any costs associated with the use of substitute teachers, part-time teachers and other personnel needed to implement plans that provide innovative staffing patterns or that require a teacher employed on a full-time basis to be absent from the classroom for specified periods for fulfilling other instructional duties.

a. Budget limitations. Costs associated with the administration of the phase III plan shall not exceed the local district's or AEA's established restricted indirect cost limitations.

b. Districts contracting with AEAs to provide instructional programs shall transmit moneys to that AEA. The minimum amount transmitted shall be the amount generated per pupil. This would not preclude a district from transmitting an additional amount to achieve equity in teachers' salaries in both AEAs and local districts.

c. AEAs that contract with districts for the provision of support services shall transmit an amount of money equal to the number of students served by local support personnel times the amount identified by the department for the coming year from the district to the AEA.

d. Phase III expenditures and reimbursements shall adhere to all applicable state and federal regulations.

e. A board of directors of a district that has discontinued grades under Iowa Code section 282.7, or whose students attend school in another school district, under an agreement with the board of the other school district, may either transmit the phase III moneys allocated to the district for those students based upon the full-time equivalent attendance of those students to the board of the school district of attendance of the students or shall transmit to the board of the school district of attendance of the students a portion of the phase III moneys allocated to the district of residence based upon an agreement between the board of the resident district and the board of the district of attendance.

281—91.6(294A) Final report. Each district receiving moneys for phase III during a school year shall file a report with the department by October 1 following the close of that school year. Each AEA receiving moneys for phase III during a school year shall file a report with the department by November 1 following the close of that school year. The report submitted by the board shall describe the plan, its objectives, its implementation, the expenditures made under the plan, the extent to which its objectives were attained, and the teachers who participated in the plan.

All supporting documentation of the status and results of phase III activities and programs for a given plan year shall be maintained in a central location for a period of at least five years.

281—91.7(294A) Dissemination of plan. Districts and AEAs shall not charge other Iowa districts or AEAs for plans or information about innovative phase III plans that they have developed.

These rules are intended to implement Iowa Code sections 294A.12 to 294A.20.

[Filed 2/22/93, effective 4/21/93]

[Published 3/17/93]

EDITOR'S NOTE: For replacement pages for IAC, see IAC Supplement 3/17/93.

Guidelines for Phase III Expenditures

ALL Phase III activities must meet district/AEA instructional goals and the process and performance objectives identified in the approved Phase III plan. All proposed modifications to approved Phase III plans must be submitted to the Department of Education in an amendment packet and approved by the Department prior to implementation. ALL funded activities must be instructional, not supervisory or recreational. The information contained herein has been provided to the State Auditor's Office and disseminated to CPA firms that perform District and AEA audits.

1. Examples of Appropriate Phase III Expenditures for Teachers:

- A. salaries and employer's share of Social Security/Medicare for:
 - a) providing additional instruction to students
 - 2) participating in staff development
 - 3) peer coaching
 - 4) mentoring
 - 5) writing curriculum
 - 6) serving on instructional and instruction-related committees
 - 7) performance-based pay
 - 8) other instruction-related activities
- B. conference/workshop fees and related travel expenses
- C. college tuition, books, and related travel expenses
- D. salaries for substitutes replacing teachers participating in Phase III activities
- E. meals IF incidental to a meeting or a conference

2. Examples of Appropriate Phase III Expenditures for Consultants:

- A. fees for providing staff development training to teachers
- B. related travel expenses in order to provide the staff development training

3. Examples of Inappropriate Phase III Expenditures for Teachers:

- A. materials for classroom use by the teacher
- B. materials not directly tied to teacher staff development
- C. meals for teachers when the purpose is social
- D. teacher salaries for activities conducted prior to Phase III but were done on a volunteer and paid basis
Example: Teachers may not receive Phase III salary for serving as supervising teachers of a student teacher, or sponsoring a previously conducted club
- E. within a performance-based pay plan, additional salary when the teacher performance or outcome did not meet the predetermined level of performance
- F. when an activity is not satisfactorily completed
- G. activities which are not instructional in nature, i.e.: supervisory, recreational, or not related to their teaching responsibilities
Example: installing brackets in the hallway to hang Effective Schools banners; renovating the school track; supervising the weight room; running an open gym; etc.

4. Examples of Inappropriate Phase III Expenditures for Students:

- A. materials for use by students
- B. student expenses: transportation, fees, food, etc.
- C. consulting fees for work with students: visiting author, motivational speaker for students, etc.

5. Examples of Inappropriate Phase III Expenditures for the District/AEA:

- A. expenses of copying, typing, printing, videotaping, etc.
- B. computers and other equipment
- C. salaries for individuals not qualifying as teachers: administrators, secretaries, community, etc.
- D. administrators cannot receive Phase III funds as consultants in their employing districts
- E. meals, regardless of circumstances, for individuals not qualifying as teachers
- F. any expenditures which supplants previously operated activities by the district

Appendix B
Letter of request

February 15, 1995

<Insert school name>
<Insert school address>
<Insert city & state>
<Insert school zip code>

Dear Phase III Coordinator,

Your school district's Phase III plan has been selected for inclusion in a study of Phase III plans submitted for 1994-95. The purpose of the study is to determine, by means of content analysis, how districts have interpreted the intent of the Phase III section of the Iowa Educational Excellence Act. The study will not identify participating schools by name.

Please send a copy your district's approved 1994-95 Phase III plan by March 1, 1995 to:

Roger Scott
4133 N.W. 98th
Urbandale, Iowa
50322 - 1013

I would like to thank you in advance for your assistance. The data gathered from the Phase III plans will become part of a doctoral dissertation conducted at Drake University with the cooperation of the Iowa Department of Education. If you would like to receive a summary of the research findings, please indicate on the enclosed card and return with the copy of your plan.

Sincerely,

Roger Scott

Appendix C

Initial content analysis categories

Initial content analysis categories

Comprehensive School Transformation- Rationale or Activities that promote organizational goals, the building of shared values, participatory management systems, changes in the local accountability system or collegial relationships. Such activities include changing the roles and responsibilities of teachers, parents and community members, improving the school climate/culture, or equipping school personnel with organizational problem solving skills, and building capacity or change. The emphasis is developing the whole school. The activities are part of a comprehensive plan designed to produce real and fundamental changes in the design of the educational system and are an integral part of a comprehensive redesigning plan. Activities in this category represent a school wide shift in how the school operates.

Site-based shared decision making - Building level staff members are responsible for developing and implementing strategies to fulfill building-level goals, for monitoring progress and for evaluation of activities. The participants in the site-based shared decision making process must include both teachers and site administrators and may include members from the community (Iowa Code, 281-91.5, Brandt, 1991; Clinchy, 1995a; Cohen, 1988; David, 1991; Dolan 1994a, 1994b; Dufour, 1992; Fisher, 1994; Fullan, 1990, Glatthorn, 1993; Joyce, 1991; NISDC, 1991,1994; Peters, 1982).

Building based goal-oriented - The building goal, developed by both administrators and teachers, must focus on the improvement of student achievement. The goal identifies the goal, the target audience and the

specific strategies to be used. The criteria for evaluating the attainment of the goal must be clearly defined. Teacher compensation is based on the level of attainment of the goal (Iowa Code, 281-91.5; Clark, 1989, David, 1991; Dolan, 1994b; Dufour, 1992; Fullan, 1990; Glickman, 1990; Joyce, 1991; Neal, 1991; Peters, 1982)).

Student outcomes - Student outcomes will be developed at the local level based on current research and development of knowledge, as well as current and future needs of students. Outcome assessments must be multi-dimensional and developed in alignment with the outcomes. Alternative teaching strategies that facilitate student attainment of the outcomes must be developed (Iowa Code, 281-91.5; Clark, 1994; Clinchy, 1995a; Cohen, 1988; David, 1991; Diegmuller, 1994; Dufour, 1992; Elmore, 1994; Glickman, 1990; Murphy, 1990; NGA, 1991; NCREL, 1992a; Schlecty, 1990; Wiggins, 1994.)).

Accountability for student achievement - Multi-dimensional student assessments' measures for the system shall be developed in alignment with established student achievement goals. Participating teachers shall work collaboratively to monitor, assess, and report student achievement. Participating teachers shall be involved in redesigning the environment and the learning strategies to assure student success (Iowa Code, 281-91.5; Clark, 1994; Clinchy, 1995a; Cohen, 1988; David, 1991; Diegmuller, 1994; Dufour, 1992; Elmore, 1994; Glickman, 1990; Murphy, 1990; NGA, 1991; NCREL, 1992a; Schlecty, 1990; Wiggins, 1994.)).

Accountability for organizational success - Multi-dimensional student assessment must be developed that align with student achievement goals.

Provisions must be made for an ongoing school renewal process. The roles of teachers shall be expanded to assure that they are active participants in school transformational efforts (Iowa Code, 281-91.5; Brandt, 1991; Clark, 1994; Combs, 1988; Deal, 1992; Dolan, 1994a, 1994b; DuFour, 1992; Fullan, 1990; Glatthorn, 1993; Glickman, 1990; Houston, 1988; Joyce, 1991; McGonagil, 19..; Miles, 1991; NGA, 1991; Neal, 1991, Newmann, 1991; O'Neil, 1994; Senge, 1990; Schlecty, 1990, Usdan, 1994).

Fostering relationships between School and business or public agencies that provide health and social services- the classroom shall be expanded into the community/business and the businesses or public agencies shall be integrated into the school to provide learning opportunities and/or provide needed services to students and their families (Iowa Code, 281-91.5; Cohen, 1988, Dolan, 1994b; DuFour, 1992; NGA, 1991; NISDC, 1991, 1994; Schlecty, 1990).

Rewarding Performance - Rationales or activities that have the express purpose of providing individual teachers with additional salary based on some form of evaluation for attaining specified performance criteria, for demonstrating additional competencies, in recognition of superior teaching, or for individual teaching efforts. Activities in this category are focused on individual teachers or groups of teachers but do not represent a school wide shift in how the school operates (Bell, 1994; CFEE, 1986; Clegg, 1989; ECS, 1983,1987; EDE, 1988b; ISBE, 1991; NCEE, 1984a, 1983; Stalker, 1991).

Professionalizing Teaching - Rationales or activities that enhance the role of teachers through job autonomy, new professional responsibilities, improve working

condition, mentoring or improve the teacher compensation (both intrinsic and extrinsic) for the specific purpose of trying to retain quality teachers in the school system and for attracting new teachers to the school system. Activities in this category are focused on individual teachers or groups of teachers but do not represent a school wide shift in how the school operates. Typical activities in this category would include mentor/mentee programs, department/curriculum chairs, and undertaking special projects (Brandt, 1991; CFEE, 1986; Clegg, 1989; Clinchy, 1995a; David, 1991; DuFour, 1992; Edmonds, 1979; Elmore, 1994; Fullan, 1990; Mace-Mattluck, 1987; Joyce, 1988)..

Job Enlargement - Rationales or activities that provide additional compensation to teachers who assume additional responsibilities beyond the standard workload and which address district or building level needs and/or goals. Additional compensation may include extension of the contract year or contract day for those who assume additional responsibilities. Activities in this category are focused on individual teachers or groups of teachers but do not represent a school wide shift in how the school operates (CFEE, 1986; Clegg, 1989; Combs, 1988; Dolan, 1994b; Elmore, 1994; Glatthorn, 1993; Houston, 1988; ISEA, 1991; Joyce, 1988; Maeroff, 1988; Miles, 1991; NISDC, 1991; NCREL, 1992a, Newmann, 1991)..

Staff Development - Rationales or activities that are initiated with the intent of promoting professional development of teachers through enhanced opportunities to attend professional growth workshops, college courses, or on site staff development activities. Activities in this category are focused on individual teachers or groups of teachers but do not represent a school wide shift in how the school operates (Clegg, 1989; Cohen, 1988; Combs, 1988; David, 1991; DMPS,

1992; Dick, 1994; DuFour, 1992; ECS, 1987; Glatthorn, 1993; Houston, 1988; ISEA, 1991; Lepley, 1988; Maeroff, 1988)..

Improving Teaching and Learning - Rationales or activities that encourage the development of new or different instructional approaches, create opportunities for professional interaction on teaching and learning, or allow teachers the opportunity to increase instructional effectiveness and develop new skills in using effective teaching techniques through training and in service programs. Activities in this category are focused on individual teachers or groups of teachers but do not represent a school wide shift in how the school operates(Clegg, 1989; Cohen, 1988; Combs, 1988; David, 1991; DMPS, 1992; Dick, 1994; DuFour, 1992; ECS, 1987; Glatthorn, 1993; Houston, 1988; ISEA, 1991; Lepley, 1988; Maeroff, 1988).

Curriculum Development - Rationales or activities are designed to improve, develop, or modify curriculum materials; implement curriculum reforms; provide in service or training related to curriculum development, subject matter, or test and assessment development. The definition of curriculum development includes the identification of student outcomes and the development of assessment methods designed to measure them. Activities in this category are focused on individual teachers or groups of teachers but do not represent a school wide shift in how the school operates(Brooks, 1993; Clegg, 1989; David, 1991;.DMPS, 1992; Diegmuller, 1994; Drucker, 1974; DuFour, 1992; IDE, 1988b, 1991; Joyce, 1986; Lepley, 1988; Michaels, 1988; NCREL, 1992a).

Social Concept Development - Rationales or activities that the intended purpose is not instructional, but instead meet identified social needs of children or society. Such programs may include substance abuse prevention programs, drop out

prevention programs and at-risk programs. Activities in this category are focused on individual teachers or groups of teachers but do not represent a school wide shift in how the school operates (Berliner, 1993; Brändt, 1991; Clegg, 1989; Edmonds, 1979; Fisher, 1994; Fullan, 1991; Lepley, 1988; NCEE, 1984a; NGA, 1991; NCREL, 1992&b; Noddings, 1992; O'Neil, 1994; Schlecty, 1990).

Appendix D

Example of Initial CA matrix

General Categories

	rewarding performance	Prof. Teaching	job enlargement	Staff Dev.	improve learning	curriculum development	expanded learning op.	Social Concepts	School Transformatio
Teacher Focused Activity									
teacher developed activities									
unspecified staff development									
writing skills training									
technology training									
Hunter training									
thinking skills training									
math skills training									
TESA/GESA									
Effective Schools									
Dimensions of Thinking									
mentor/mentee									
total	0	0	0	0	0	0	0	0	0

School Transformation Categories

School Transformation	site-based decisions	building goals compensation	innovative program	student outcomes	account. st. achiev.	account org. success	partner- ships	Total
Teacher Centered Activity								0
teacher developed activities								0
unspecified staff development								0
writing skills training								0
technology training								0
Hunter training								0
thinking skills training								0
math skills training								0
TESA/GESA								0
Effective Schools Training								0
Dimensions of Thinking								0
mentor/mentee programs								0
								0
								0
								0
								0
total	0	0	0	0	0	0	0	0

Appendix E

Revised CA matrix

School Transformation
All transformation includes recognition of need to change.

elements	Excellence Wave	Professionalization Wave	Awareness/Exploration	transformation
<p><i>"What do we want students to know and be able to do?"</i></p> <p>(Vision-Curriculum/Instruction/Assessment)</p>	<ul style="list-style-type: none"> •top down •mandates & inputs •high achievement-generic •standardization •"pull out programs" enrichment/remedial programs •curriculum adoptions/text •standardized test •curriculum revision not considered •status quo <p>No consideration that current curriculum is inappropriate</p>	<ul style="list-style-type: none"> •top down - •mandates & inputs •high achievement-generic •strategic planning •curriculum writing(teachers)- <u>not connected to new outcomes</u> •standardized test •"pull out" programs •new assessments studied <p>•elements not connected</p>	<ul style="list-style-type: none"> •collective vision underway •focus on new student outcomes •"new" teaching approaches •emphasis on inclusion •<u>collaborative curriculum writing focusing on new outcomes is beginning</u> •"all students can learn" - all at initial or beginning stages <p>•elements are related</p>	<ul style="list-style-type: none"> •shared beliefs & values are a foundation •student outcomes established •learning is active •learning is acquiring and application of knowledge •emphasis on higher order skills, performance assessments & new instructional practices •elimination of "pull outs" •produce healthy, productive workers with usable skills •integrated curriculum <p>•elements connected</p>
<p><i>"What kinds of learning experiences produce these results?"</i></p> <p>(classroom instruction & staff development)</p>	<ul style="list-style-type: none"> •information dissemination •one correct way •externally controlled & directed •outside experts •short term-"one shot" •individual teacher learning •text driven curriculum •unfocused activities <ul style="list-style-type: none"> •school visitations •workshop not connected to other elements 	<ul style="list-style-type: none"> •qualified teacher=high achievement •site-based decision making as an innovation not linked to other processes •focus on instruction-improving individual teaching skills •directed externally & internally •Staff Development - series of training without connection to curriculum, inst. and assessment •individual and group learning •additional training days for staff development primarily in instructional skills only <p>•elements not connected</p>	<ul style="list-style-type: none"> •site-based decision making linked to other processes •long term commitment begins •outcomes & assessment training •collaborative skills training •Constructivism/ownership •study of change & research •focus on local needs •some learning determined by participants •<i>Several Areas of simultaneous investigation:</i> <ul style="list-style-type: none"> •performance focus •active learning/integration •school to work skills •"authentic learning" •alternative assessments •higher order skills •alternative schedules •multiple resource curriculum <p>•elements are related</p>	<ul style="list-style-type: none"> •outcomes focused •performance oriented •complex thinking emphasized •teacher selected topics •action research a norm •building based •strong linkage between outcomes (standards), staff development, and collective vision •Shared decision making linked to most teaching and learning decisions •Study of change & research a norm •<i>Ongoing study of multiple areas</i> <p>•elements connected</p>

School Transformation

All transformation includes recognition of need to change.

elements	Excellence Wave	Professionalization Wave	Awareness/Exploration	transformation
<p>"What does it take to transform schools into places where this happens?"</p> <p>(networking, decision making, roles & responsibilities)</p>	<ul style="list-style-type: none"> outside experts directed externally rational-linear theory control of variables principal as instructional leader top down dissemination of information teacher as worker extended learning experiences for students - "more of the same" status quo 	<ul style="list-style-type: none"> peer coaching-networking in some form teacher advisory boards examples of collaboration individual performance mentoring programs study of shared decision making teachers involved in some teaching and learning decisions instructional repertoire job enlargement-dept. chairs 	<ul style="list-style-type: none"> site improvement teams beginning focus on organizational success - connections - collaboration, peercoaching and networking beginning mentoring programs shared decision making evident teacher as instructional leader examples of new roles & responsibilities for teachers discussion of community participation in schools teachers clearly involved in teaching & learning decisions transformation teams form attempts to link social services & educational serv. elements are related 	<ul style="list-style-type: none"> emphasis on organizational success combination of top down and bottom up decisions teachers in a variety of roles, with new responsibilities in meaningful decisions multiple networking site based decision making a norm financial resources allotted to shared decision making collaborative work linked to shared vision building based compensation collaborative compensation systems thinking a norm social services and educational services closely linked elements are connected
<p>"Who is accountable for ensuring that these desired effects are achieved?"</p> <p>(accountability for the organizational success)</p>	<ul style="list-style-type: none"> administration, school board, & principals comparison of school to other schools committee work for teachers but limited in the areas of application approval - Phase III committe to approve projects. top down orientation reward individual performance career ladders/merit pay communication with public principal is instructional leader 	<p>elements not connect</p> <p>Committees that have some discretion in both rule interpretation and responsibility for future planning and success -</p> <ul style="list-style-type: none"> - includes teachers and administrator members Teachers involved in decisions concerning primarily staff development 	<ul style="list-style-type: none"> task forces formed to discuss possible changes discussions on group accountability school/business partnerships forming some emphasis building level and community involvement in determining vision, goals school and community relationship recognized as important part of transforming teachers accountable for success of organization discussed in some form 	<ul style="list-style-type: none"> system changed public, community and business are all involved in success of schools multiple stakeholders evident group/shared responsibility a norm inter-accountability with multiple groups simultaneous emphasis on building, district, and community